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ABSTRACT

This study examines how educational leaders in California used the change process to accomplish positive new outcomes in their schools, and tests the hypothesis that skilled leadership is required for successful change. Data were gathered from a review of literature and a survey of leaders from 39 Distinguished Schools. Questions focused on the condition of the organization before change and the methods used to develop outcomes. Chi-square was used in the treatment of raw data to determine statistical significance. The literature review supports the hypothesis: Without leadership, organizational change becomes a nondirected shifting of policies and procedures dominated by the strongest forces within the organization. The data reveal that successful schools implement change through people and that leaders recognize the human factor as the essential element for successful change. Assessing the data and recognizing that every school is unique, the study makes the following recommendations for successful change implementation: (1) Accurately assess conditions; (2) develop a sense of urgency: (3) create a guiding coalition; (4) share the vision; (5) make time for planning; (6) communicate the vision; (7) create ownership; (8) establish timelines; (9) capitalize on initial successes; (10) evaluate the process; and (11) sustain the effort. (Contains survey questions, 8 tables, and 37 references.) (WFA)

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THE DYNAMICS OF ORGANIZATIONAL CHANGE:

A STUDY OF HOW CALIFORNIA DISTINGUISHED SCHOOLS USE CHANGE TO IMPLEMENT POSITIVE NEW OUTCOMES

ED 471 368

by

RONALD ZIMBALIST

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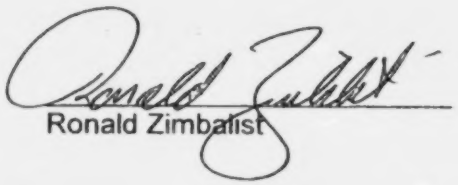

Ronald Zimbalist

DEDICATION

She was a lifetime educator who believed in people. She knew what it meant to give, to sacrifice, and to persevere. She was my mother. Thank you, Gertrude Card Zimbalist.

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The author would like to gratefully acknowledge the contributions of my professional colleagues Don Bagley and Jack Hansen. Throughout their careers, these educational leaders have successfully implemented change at their schools and districts. Their leadership, vision, and personal character have been an inspiration for this work.

While balancing life around family, career, and research, it would have been impossible to complete this work without the encouragement and support from my wife Daphne.

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Chapter I

NATURE OF THE RESEARCH

Overview

The process of change is as complex as it is fascinating. By its very nature, change is an inescapable fact of life. The aging process itself imparts change throughout the universe. As inhabitants of this planet, there is no question that we will experience varying degrees of change in our lives. It is therefore safe to say that change happens. The ancient Chinese classic, I Ching, summarizes the art of mastering change in the proverbial line from Tao Te Ching, "The journey of a thousand miles begins with the first step" (Cleary, 1989:3).

A new millennium finds the American spirit still searching for something more than a personal state of equilibrium. Over 200 years ago, the architects of our democracy understood the desire for change. It was Thomas Jefferson who clearly established the blueprint for individual liberty when he wrote: *"We hold these truths to be self-evident, that all men are created equal; that they are endowed by their Creator with certain inalienable rights; that among these are life, liberty and the pursuit of happiness"* (Bennett, 1999:279). Pursuit in itself is synonymous with seeking or searching for something different than what currently exists (Thorndike-Barnhart Dictionary, 1984). Such change is the result of planned action and is the essence of the present study.

In education, political trends along with overwhelming amounts of information can obscure objective results. Change is frequently driven by educational research that produces contradictory results (Bangert-Downs & Rudner, 1991:1). The challenge for educational leaders is to harness the change process to produce positive new outcomes within their organizations.

The present study will examine how educational leaders in California used the change process to implement positive new outcomes in their schools. Leaders from California Distinguished Schools were surveyed, and results were tabulated to form a blueprint of best practices. The California Department of Education created the California School Recognition Program to reward achievement.

Educational leaders were asked how they used the change process to implement positive new outcomes in their schools. Questions focused on the condition of the organization prior to change implementation and the methods used to develop positive new outcomes. Survey questions included:

1. The condition of the organization prior to change implementation;
2. Areas within the organization in need of change;
3. Establishing a new vision;
4. Communicating the new vision;
5. Establishing an Action Plan;
6. Implementation of the Action Plan;
7. Resistance to change;
8. Overcoming resistance;

9. Evaluation;

10. Personal reasons for undertaking the change process in their organizations.

The review of literature will focus on the best practices that correspond to each area of the survey.

From the corporate and educational levels, much has been written about change. Educational leaders have access to volumes of research describing change theories. The dilemma for practicing educators is how to successfully use change theory in an actual school setting. The present study will look at what is known about the change process and how schools bring about positive new outcomes through change. Documented best practices will be described and compared to the findings from the survey of the present study.

Statement of the Problem

Little information exists in the literature regarding identification of the best practices used by Distinguished Schools in California that may serve as an informational network to benefit all schools.

Significance of the Problem

Why are some schools recognized for their success, whereas others remain in a static state of mediocrity? The complex answer must consider a variety of variables that are beyond the scope of the present study. There is one variable, however, that is constant to all organizations and schools. Change is

that variable. Whether change is calculated to bring about positive results or is the by-product of random events within an organization, change will take place. Therefore, the present study will discover how successful schools have used the change process to implement positive new outcomes. The present study will provide a template that may be useful for others seeking to improve their schools.

Limitations

Educational leaders from 39 Distinguished Schools participated in a cross-sectional survey of change-implementation strategies. These leaders were asked to describe the strategies they used to implement changes that eventually led to their selection as Distinguished Schools. The Office of Policy and Evaluation at the California Department of Education evaluated 289 applications in 1999 with 91 middle schools and 63 high schools finally selected for recognition (CDE, 1999). The present survey selected schools representing urban, suburban, and rural communities throughout California. The survey consisted of closed-ended and open-ended questions. Responses included both quantitative and narrative data. The survey also contained sections for respondents to provide personal commentary on their implementation strategies.

Several factors within schools are identified as having an influence on change efforts. Budgetary implication, traditions, and human interactions have significant effects on school reform. The present study will examine how leadership influences change.

Objectives / Goals

Serious reform efforts in public education require change strategies that involve the entire school system (Karr-Kidwell, P.J., & Matthews, 1999:5). The objective of the present study is to provide a document that reveals how the change process was used to bring about positive new outcomes in schools. Schools wishing to implement positive changes may use the present study as a guide for developing change strategies. The goal of the present study is to analyze current literature on the change process and then systematically describe practical strategies used by educational leaders of California Distinguished Schools.

Hypotheses

The present study will examine the dynamics of organizational change and how successful schools used the change process to bring about positive new outcomes within their schools. The present study will test the following hypotheses:

Hypothesis #1:

California Distinguished Schools have developed ($p \leq .05$) positive new outcomes by successfully implementing change.

Hypothesis #2:

Teacher attitudes toward the change process will affect ($p \leq .05$) the outcomes of the change.

Hypothesis #3:

Leadership is required ($p \leq .05$) to guide desired change efforts.

Assumptions

- All organizations undergo change.
- Schools are educational organizations.
- Change will take place even in the absence of leadership
- Change can be positive or negative
- Positive change can be the result of leaders guiding schools through the change process.
- California Distinguished Schools are examples of successful schools.
- Existing literature documents best practices and accepted theories of change.
- The present study is conducted in a spirit of honesty and integrity for the purpose of understanding how successful schools have implemented positive new outcomes.

Definitions

Educational Leaders: School Principals, Site Administrators, and Superintendents. Leaders are also those individuals who are responsible for the operation of a school or district.

California Distinguished Schools: The California School Recognition Program was established in 1985 by the State Superintendent of Public Instruction and the State Board of Education to recognize and reward successful schools. In 1999, the criteria included at least 50 percent proficiency in Language Arts and Math from the SAT 9 test, as well as demonstrating superior achievement in the following standards:

a. Standards, Assessment and Accountability;
b. Teaching and Learning;
c. Teacher Professionalism;
d. Integration of Technology;
e. Support for Student Learning;
f. Academic Counseling;
g. Special Needs and At-Risk Student Programs;
h. Safe and Healthy Schools and Coordinated Services;
i. Partnerships Among Families, Schools, And Communities; and
j. Community Connections.

Change: The alteration of an existing condition resulting in a new condition.

Positive School Change: Reforming an existing school culture, leading to improved working conditions for employees and/or the improved academic or behavioral condition of the school or district.

The Change Process: Using established strategies to alter an existing organization or condition. The present study will accept the eight-stage process

for creating major change outlined by John Kotter in his work, *Leading Change,* (1996):

a. Establishing a sense of urgency;
b. Creating the guiding coalition;
c. Developing a vision and strategy;
d. Communicating the change vision;
e. Empowering broad-based action;
f. Generating short-term wins;
g. Consolidating gains and producing more change; and
h. Anchoring new approaches in the culture.

Positive New Outcomes: A positive condition that previously did not exist within the school or organization.

Implementation: Completing a plan to the degree that the plan becomes the new practice.

Schools studied: California middle schools and high schools recognized as Distinguished Schools in 1999.

Survey: A series of 18 questions submitted to 60 educational leaders of 1999 distinguished schools in California.

Setting

Educational leaders from middle schools and high schools were selected to receive the survey. Schools were selected from three geographic areas of California. Geographic locations included the southern, central, and northern

regions of the state. Sixty surveys were mailed to selected educational leaders of distinguished schools. The present writer was a principal of a middle school that received a 1999 Distinguished School award. Surveys were distributed through the mail with self-addressed, stamped envelopes included. Sixty-five percent of the surveys were returned.

The writer of the present study is currently a principal in the Sacramento area responsible for opening a new middle school. Strategies documented in the present study have been instituted in the new middle school. This clinical approach serves as a living example of how recognized best practices could produce positive outcomes in schools. Details will be discussed in Chapter III.

Organization of the Study

Chapter 1 presented an overview of the nature of the present study.

Chapter 2 will present a review of related literature and research.

Chapter 3 will detail aspects of the design of the study.

Chapter 4 will present an analysis of the data collected.

Chapter 5 will present a summary, conclusions, implications, and recommendations regarding the present study.

Chapter II

REVIEW OF RELATED LITERATURE AND RESEARCH

Introduction

What does it take to turn around an organization? It seems Americans have always been fascinated with success stories of underdogs making good. Stories have been told of small businesses, on the verge of bankruptcy, suddenly acquiring new dynamic leadership that turns the companies around. In education, we have heard about troubled schools that found the formula for success and made the most of it. "Turn around" is about overcoming obstacles. It is the story of David and Goliath. It is Rocky going the distance. It is about winning. In reality such stories may be few and far between, although current literature does substantiate numerous success stories in both business and education. The present chapter will detail key elements of the change process and some of the best practices that are consistent with successful change efforts.

Research indicates that change involves more than one charismatic leader leading a charge up the hill to victory. The change process represents a complex combination of factors that, when assembled in the proper order, can make reform possible.

We will see that creating positive change requires the efforts of an entire organization. The change process actually becomes an evolution of human dynamics within an organization. Success may have to follow failure.

Ariyaratine, the founder of the community organization Sarvodaya Shramadana of Sri Lanka, expressed his views on the dangers of change. "When we try to bring about change in our societies, we are treated first with indifference, then with ridicule, then with abuse and then with oppression. And finally, the greatest challenge is thrown at us: We are treated with respect. This is the most dangerous stage" (Senge, 1994:16).

An investigation of current literature will reveal that elements of the change process apply to all types of organizations. Chapter 2 will investigate current literature pertaining to organizational change. Accepting the premise that change is inevitable, the question of school improvement becomes one of selecting an appropriate change implementation model. Current literature describes how leaders have successfully used the change process to transform their organizations. The present study conducted original research documenting the change efforts of award-winning educational leaders. A review of literature will correspond to each of the original research study questions. Background information will describe recognized change efforts in organizations and schools as well as the change process itself. An evaluation of current literature will describe approaches used by schools to make significant change. Finally, the potential of the survey conducted in the present study will be analyzed.

Background

Existing Condition of the Organization:

Many educators and researchers are focusing their attention on the reform efforts of the 1980s in an effort to determine successful reform models. Time will tell if that reform period actually produced meaningful changes, or whether it was just another swing of the pendulum. Author and educator, Terry Deal of Vanderbilt University, stated, "If history is our guide, the outcome is fairly certain. Very little of any significance in schools will change" (DuFour, 1992:x). There must be some value gained from the change efforts of that reform era as well as from the current accountability movement. The present study will attempt to identify successful change efforts, thereby creating a blueprint for the next swing of the pendulum.

Across America, education is being scrutinized for its product. Many observers actually seek to define the product of education. Freed (1998) studied the ingredients of institutional cultures in *Creating a Quality Culture* and declared that, "The public is demanding a clear purpose for existence" (Freed, 1998:4). It is public knowledge that arguments continue over the direction of educational programs and curriculum. Should a conservative back-to-the-basics approach take precedence over a more liberalized curriculum focusing on social issues? Where does career education fit into the equation of a balanced curriculum? Then there are issues of meeting the needs of the growing diversity in the United States. The U.S. Census Bureau released the 2000 Census statistics indicating that diversity in America has grown substantially over the last 10 years. The Bureau released data showing that from 1990 to 2000 the country has

experienced a 57.9 percent increase in its Hispanic population and a 48.3 percent increase in its Asian population (U.S. Census Bureau, 2001). Such growth presents challenges for educators as they plan the most effective instructional methods for language acquisition. Debate continues by many educators over the variables added to the education equation. The following issues can have a major impact on a school and district: assessment, accountability, teacher preparation, vouchers, charter schools, private and corporate schools, special needs, medications, bilingual versus sheltered or total immersion programs, technology implementation, school violence, character education, the role of the government versus local school districts, and the list goes on. Some educators believe that more educational opportunities are available today than ever before. Yet for others, the educational institution in America is in chaos. Regardless of the present condition of education, it is generally agreed that the American educational system is influenced by an ever-growing number of social pressures. If chaos exists, then the educational system must take the chaos it faces and learn to thrive on it. "The winners of tomorrow will deal proactively with chaos, will look at chaos per se as the source of market advantage, not as a problem" (Peters, 1987:xiv).

To some degree, all schools face that exhaustive list of educational concerns. Considering that change in the universe is inevitable, the present study will focus on how educational leaders use change to transform their schools into successful organizations.

When considering the inevitability of change in his book Principle-Centered Leadership, Covey states that, "The only thing that endures over time is the law of the farm: I must prepare the ground, put in the seed, cultivate it, weed it, water it, then gradually nurture growth and development to full maturity" (Covey, 1990:17). At first glance such a fundamental analogy seems oversimplified when considering the complexities of the change process. Upon closer examination however, literature indicates that there are common principles of the change process that weave through individual success stories.

Before accepting a change model, an understanding of change itself can clarify the process. Change is more than rearranging the furniture or replacing name signs on doors in the office (Kotter, 1996:139). Rather than just implementing change for change sake, an analysis of the current condition of an organization can provide data to validate a change effort. Leaders who successfully implement positive changes in their schools have a clear understanding of the guiding principles associated with organizational change. Deming believes that quantum change is possible in developing quality schools. Change reinforces natural inclinations and beliefs (Rhodes, 1990:26). Each educational leader must determine the outcomes of his / her change efforts prior to implementation. Just as an Olympic athlete visualizes success, so too, must educational leaders establish a clear vision of their final product. Striving to improve the quality of education is a worthy and justifiable effort. Deming further states that creating quality schools involves three initial steps:

1. Developing community understanding;
2. Establishing local business partnerships; and
3. Managing schools as adult learning systems.

According to Deming, it would seem foolish for an educational leader to initiate a change model that is inconsistent with the beliefs of the local community. Likewise, an implementation plan that does not adequately provide teacher training is unlikely to produce systemic change. Therefore, analysis of current conditions should include community beliefs and teacher training while reinforcing business connections to change results from the existing relationships and possibilities of an existing organization (Rhodes, 1990:26).

A Rand Research Brief detailed elements of the *America 2000 Educational Reform* initiative by providing a new paradigm for education known as "whole school designs" (Rand, 1998:1). Their research stated that high-quality schools used designs that are driven by their mission and instructional program (Rand, 1998:1).

Table A

America 2000 Educational Reform

Reform Element	***Whole School Designs***
School vision	Design choice into implementation
Focus of effort	Entire School
Duration of reform	Intense for 2-3 years. Then ongoing.
Source of technical Assistance	Design team

Sources of curricular Materials	Varies
Professional Development	Necessary
Staff organization	Necessary
Assessment	Benchmarks established by the design team

If societal pressures for school improvement are intense at the K-12 level, community colleges may face even greater pressures. In community colleges, the desire for change is affected by trends beyond the classroom (Yee, 1998:1). The Yee research appears to agree with Deming when she indicated that societal needs and expectations become external motivators for change (Yee, 1998:1). Other external motivators affecting community colleges include: international competition, educational competition, technological developments, legislative action, and funding (Yee, 1998:2). Internally, community college reform efforts are affected by changing academic values, curricular reform, and faculty relations with students (Yee, 1998:2). Not only are community colleges experiencing change, Travis, in 1995, found that they were teaching students how to successfully manage change at a personal level (Yee, 1998:2). Like K-12 education, community colleges are stressing lifelong learning. With an emphasis on outcome-based learning, community colleges are guiding students from accomplishing disconnected tasks to understanding how to accomplish tasks (Yee, 1998:2).

An assessment of the current condition of an organization would not be complete without data pertaining to the personal relationships of its employees. The work of psychologist Frederick Herzberg and behavioral scientist Abraham Maslow identified internal motivators for elementary and secondary teachers. In 1959, Herzberg identified five factors for determining job satisfaction. He found that achievement; recognition, the work itself, responsibility, and advancement were associated with long-term, positive, job performance (Gawel, 1997:3). On the other hand, he found that employee relationships regarding the physical environment of the organization produced short-term changes (Gawel, 1997:3). In 1954, Maslow published his hierarchy of needs, which outlined a general pattern of needs recognition (Gawel, 1997:2). He theorized that a person must first satisfy current needs before realizing higher needs.

In researching the works of Herzberg and Maslow, Gawel found that organizational leaders often fail to ask individuals what they want. Leaders often told employees what was needed, instead (Gawel, 1997:4).

Table B

The Maslow Hierarchy of Needs

Level	Type of Need	Examples
1	Physiological	Thirst, sex, hunger
2	Safety	Security, stability, protection
3	Love and belongingness	Gaining a sense of belonging
4	Esteem	Self-respect / respect of others
5	Self-actualization	Fulfilling one's potential

In attempting to assess current conditions, leaders could learn from the work of Hill, *Reinventing Public Education* (Rand, 1995:1). Hill found that change must flow through an entire organization if it is to be effective. Hill stated "Schools found that they could not change in important ways if all the rules and governing bodies above them stayed in place" (Rand, 1995:1). He suggests the need for long-term school boards to remain open to data driven decisions.

Examining the budget of a school district can reveal priorities and direction without uttering a word. In a statement from *Schools for the 21st Century*, Schlecty reiterated that education is still a people business when he said, "To improve schools, one must invest in people, support people and develop people" (DuFour, 1992:10). That statement reflects the growing feeling among administrators that employees are the greatest assets of the district. This statement by Schlecty seems especially true when considering that an average of 80 percent of the general budget of a school district is set aside for payroll (School Services of California, 1998). A teacher employed in a district for 25 years at an average annual salary of $45,000 a year will cost a district $1,125,000 in addition to benefits.

Table C

Average District Personnel Expenditure 1998
School Services of California

Elementary District	81.40%
High School District	79.96%
Unified School District	82.52%

In his work, *Creating the New American School*, Richard DuFour studied the human factor when he wrote, "Effective organizations recognize that their greatest assets are the individuals within them" (DuFour, 1992:11). When administrators analyze the current conditions of their schools, they would do well to include employee job satisfaction among the list of potential changes. Boyer (1983) believes that the only way to improve schools is through staff development (DuFour, 1992:5). Accepting the fact that our employees are key ingredients to effective education, DuFour once again referred to the Ernest Boyer work on staff development, when he wrote, "School improvement is about people improvement" (DuFour, 1992:5).

School reform movements are sweeping the country with highly publicized accounts of standards and accountability. School reform is a popular political campaign issue as evidenced by the 2000 presidential election. In California, the governor and legislature have taken an aggressive position on school reform. It would do well for all concerned to understand that it is impossible to legislate excellence (DuFour, 1992:11). All stakeholders must share in the vision and implementation if reform is to be effective. "Shared values and personal commitments are the soul of an excellent organization" (DuFour, 1992:35).

Methods Used to Identify Areas for Change

For years educators have used a variety of methods to identify areas of change within their schools. Since schools are an educational organization, they

actually become a laboratory for reform (Traub, 1999:9). Comprehensive, school-wide reform possesses the greatest hope for producing categorical change in education (Traub, 1999:9). If an educated citizen is the goal of education, then true reform must be driven by data that accurately reveal existing conditions (Traub, 1999:12).

In the Peter Senge book, *The Fifth Discipline*, Charlotte Roberts, Rick Ross, and Art Kleiner describe data-gathering strategies. They emphasize the importance of learning how others feel about the organization. School leaders can make their own lists of current conditions based on their own observations. Asking employees to describe how they view their organization can provide valuable insight when compared with the leaders list (Senge, 1994:50). One technique suggests the creation of an imaginary learning organization. It calls for leaders to imagine what an ideal or quality learning organization would be like, and then list those characteristics (Senge, 1994:70). Roberts, Ross, and Kleiner suggest questioning that imaginary, ideal learning organization by asking such questions as:

- What policies, events, or aspects of behavior help it succeed?
- How do people behave inside the organization?
- What are the differences between the ideal organization and your current organization? (Senge, 1994:50)

Such imagery helps form a vision for success. Norman Vincent Peale is known for his work with positive motivation and wrote that positive thinkers

become achievers because they have a clearly defined goal. "They knew precisely what they wanted and they went for that goal" (Peale, 1986:77).

No college football coach is more respected than Lou Holtz. In his book, *Winning Every Day*, he writes about visualizing the goal. "Every victory is won before the game is played" (Holtz, 1998:1). Such a profound statement suggests the importance of using acquired data about an organization to formulate a vision or goal about reforming the organization. We will look deeper into visualization in the section on vision.

Defining learning organizations depends upon accurate data from all areas of the organization. In turning around a troubled school in 1994, the present writer chose a combination of formal surveys and an informal inquiry method. Although objective, written questionnaires from employees can provide relevant data, they do not take the place of personal contact. Meeting the stakeholders personally and asking for their advice can provide valuable insight, not only about the organization but also about the person being interviewed. Everyone in a school has an opinion; so, when each member of the organization has a personal opportunity to speak with the new leader, they feel valued. Who are the stakeholders? The present writer suggests seeking information from: teachers, students, parents, secretaries, cooks, custodians, bus drivers and district personnel as well as the community at large. Asking questions and listening can provide insight into existing conditions.

Determining the first steps toward designing a learning organization, Ross, Roberts, and Smith suggest the following (Senge, 1994:53).

1) Establish key groups:
    a) People wanting improvement;
    b) People who will be involved first in the improvement.
2) Bringing the groups together allows for "dynamic cross-currents between them" (Senge, 1994:53).
3) Divergent thinking:
    a) Ask probing questions about current conditions;
    b) Suggestions for possibilities;
    c) Obstacles to be overcome.
4) Clarify suggestions.
5) Consolidate ideas.
6) Prioritize.
7) Convergent thinking or a coming together.
8) Developing an action plan (Senge, 1994:57).

Divergent thinking requires patience while establishing an accepted norm for mutual, non-combative dialogue. During the inquiry process, trends become more visible as each participant shares feelings that may have been suppressed for years. Therefore, the sensitivity exhibited by the leader becomes a key element in the inquiry process. Instruments bringing quantitative and qualitative data can provide volumes of information for analysis (Freed, 1998:5). Typical

efforts might include a questionnaire to gather objective data, whereas a more in-depth approach may include interviews, site visits, and discussion groups. A variety of data is essential to reveal an accurate perspective of the culture of an organization. For example, Freed found that leadership and institutional culture are connected within an organization (Freed, 1998:6). He also found that the culture of the organization is a major factor determining the direction of the organization. He determined four primary patterns within an organization.

- Leaders are responsible for developing and creating quality cultures;
- Existing cultures block change implementation;
- A new culture is a product of continuous quality improvement, CQI; and
- Changing the culture is required for long-term change (Freed, 1998:9).

When considering essential data relating to the current condition of an organization, David McCamus, former chairman and CEO of Xerox Canada speaks of peripheral vision. He suggests looking at the organization through an imaginary wide-angle lens versus a telephoto lens. Such an approach shows how various factors interrelate within the organization (Senge, 1994:87).

Perhaps the Daniel Kim work, *The Systems Thinker*, would agree with McCamus. Systems thinking considers the interrelatedness of forces within organizations (Senge, 1994:88). Guiding a staff through systems thinking can develop a broad picture for the organization while shedding light on the seemingly invisible factors that may effect organizational change (Senge, 1994:89).

The concept of market research is moving from business to the educational environment. When the task of acquiring an education is viewed as the product of the educational system, then the system considers students and parents as consumers. Therefore, understanding consumer needs becomes the driving force for educational change. Dimun uses this approach in her work, *Educational Marketing: An Essential Tool for Managing Change* (Dimun, 1998:3). She suggests using market research for gathering pertinent data to bring an "outside in" approach to evaluating current conditions. With so much data available, it can become difficult to see the forest through the trees. It becomes necessary to focus on the essential questions that provide a clear picture of the organization. When customer opinions are included in analysis, the big picture takes on a broad perspective. Consumer needs should be identified first and then applied to marketing strategies for the organization (Dimun, 1998:9).

Skillful leaders have the opportunity to use their experience for gaining in-depth insight into the culture of their organization. The Herzberg theory of motivators suggests that subjectively gathering data can reveal hidden feelings within the culture of the organization (Gawel, 1997:4). It is even possible that hidden feelings and innermost desires of employees can only be revealed in personal interviews, since some individuals have difficulty articulating their feelings about their job (Gawel, 1997:3). For example, relating the Maslow Hierarchy of Needs to interview questions could reveal a personal

disappointment over being passed over for promotion or a lack of recognition within the organization (Gawel, 1997:2).

After examining the literature describing numerous data-gathering methods, it could be summarized that accurate analysis of current conditions requires: honesty, objectivity, a variety of collection methods, insight, and perhaps most importantly, the ability to listen rather than tell employees what they need (Gawel,1997:3).

Areas in Need of Change:

Literature indicates that data alone are meaningless until they are analyzed within the context of the organization (DuFour & Eaker, 1992:18). Data can be used to describe the existing condition. Research and practical experience also seems to suggest that reforming an educational organization can take place at a variety of levels. Ron Edmond in 1979, identified characteristics of effective schools (DuFour & Eaker, 1992:25):

- Safe and orderly;
- Clear mission;
- Instructional leadership;
- High expectations;
- High level of time on task;
- Continuous monitoring of student progress; and
- Positive home-school relations.

After analysis is complete, the next question to be asked is where do we start? What needs to be changed? James Traub writes that most reform designs suggest that reform starts in the classroom (Traub, 1999:12). Meaningful reform pertains to curriculum and instructional strategies. Traub continues by citing the work of Yale psychologist James Comer who believes that schools must first attend to the moral, social, and psychological development issues of children (Traub, 1999:12). Other educators believe that the curriculum is most important and that the direct instruction model will address the essence of education. It is through direct instruction that, "children learn what they are taught" (Traub, 1999:12). In his work, *Better by Design*, Traub states that those who believe in the direct instruction model follow accepted cognitive development and learning theory. "Schools fail because they teach badly" (Traub, 1999:12).

We cannot definitely say that one approach is successful for all children. *Better By Design* lists the most prevalent school-wide reform approaches (Traub, 1999:4):

1. Accelerated Schools;
2. America's Choice;
3. Coalition of Essential Schools;
4. Core Knowledge;
5. Direct Instruction;
6. Edison Project;
7. Expeditionary Learning Outward Bound;

8. Multiple Intelligences;
9. School Development Program; and
10. Success for All.

Kotter believes that change takes place when a combination of trust and common goals are shared (Kotter, 1996:65). In his analysis of the business community, he found that building a coalition fosters change. That coalition exists in three phases:

1. Finding the right people;
2. Creating trust; and
3. Developing a common goal.

Data analysis may reveal both internal and external areas in need of change. Political pressures as well as societal needs and expectations represent a few of the external forces influencing change (Yee, 1998:1). Once identified, external pressures may affect internal issues within a school. For example: if test scores are an issue for a local community, then curricular alignment to standards, teacher training, and hiring credentialed teachers along with instructional strategies become internal issues facing change. Brophy and Good wrote of the complex factors influencing organizational change. "The research also shows that complex instructional problems cannot be solved with simple prescriptions" (DuFour & Eaker, 1992:11).

A review of meaningful literature can provide valuable insight for school reform efforts. We would be limiting our options if we only reviewed

contemporary research on the change process. From an historical perspective, change is the essence of civilization. Over time, rulers come and go leaving a different political landscape in their wake. It could be said that even in our current volatile political arena, the leaders of tomorrow may discard the decisions of today. Our review of literature on the process of change would be incomplete without investigating the legendary works of the ancients. Out of the depths of prehistoric China, the I Ching is considered to be one of the oldest books in existence. A combination of wise sayings and religious implications, the I Ching guided reform efforts of emperors and warriors for thousands of years (Ho, O'Brien & Palmer, 1986:11). In ancient China the concept of change is one of opposing forces, a concept not widely accepted in Western culture (Ho, O'Brien & Palmer, 1986:49). "Within this idea of change there is the concept that each individual can either flow with the sway of change and thus personally benefit, or go against the flow and be crushed" (Ho, O'Brien & Palmer,1986:50).

At the center of the I Ching philosophy are a series of six-line hexagrams, each bearing its own interpretation of events in the universe. The 43rd hexagram is known as the Kuai, or the New Outcome. Much of the interpretation of this New Outcome hexagram can be applied to contemporary change models. In their work, *The Fortune Teller's I Ching*, Ho, O'Brien and Palmer (1986) describe the elements of the Kuai:

- Reestablishing harmony and cooperation begins locally;
- Corrupt leadership is being replaced with wise leadership;

- An honest and virtuous personality is the best weapon for overcoming corrupt authority; and
- A generous man shares his knowledge with everyone he meets.

The ancient Kuai statement illustrates the parallel between I Ching and contemporary change analysis by stating that reestablishing harmony and cooperation begins locally. In Creating the New American School, DuFour and Eaker (1992) wrote that the greatest assets of an organization are the individuals within.

From ancient wisdom to state-of-the-art decision-making, Leonard, Shulman, and Smith (1996), in their work, *Application of F-117 Acquisition Strategy to Other Programs in the New Acquisition Environment*, describe how leadership in the Air Force contributed to the success of the highly secret stealth fighter. Four of the Air Force management strategies have conventional applications for organizational change efforts:

1. Strong and sustained support from leadership;
2. A willingness to delegate authority to low levels of the organization;
3. A tolerance for risk taking; and
4. Building a staff of highly qualified people.

When determining areas in need of change, leaders may do well to remember a simple motto that came out of the Freed research, "Preserve the best and improve the rest" (Freed, 1998:10). He discovered that leaders must be careful not to overlook past success while striving to create a new direction.

Matthews and Kidwell describe five factors for broad-based school reform in their work, *The New Technology and Educational Reform* (Karr-Kidwell, P.J.,& Matthews, 1999:6).

1. Change Theory: A complex process that takes up to ten years to fully institutionalize. The theory focuses on changing an organization's structure by considering all aspects of the organization. Matthews describes the work of Schlechty (1990) who stated relationships, values and knowledge within the organization need to change before the effort is fully implemented. McAdams, (1997) elaborated on the change process when he said, "Structural change requires cultural change."
2. Organizational Theory: Weick, (1992) described the four characteristics of a decentralized decision-making model:
   a. Enriching the customer;
   b. Cooperation to improve competitiveness;
   c. Organization; and
   d. Leveraging the impact of people and information.
3. State and National Politics: Chub and Moe, (1991) studied how politics can impede significant school reform because of its very nature to create cumbersome controls and micromanagement.
4. Local Politics and Governance: In 1990, Schlecty wrote that systemic changes require board approval and support. For

systemic changes to become implemented school boards need to maintain the established course in spite of trends and political and community pressures associated with changes in superintendents.

5. Leadership Theory: Team concepts form the basis of leadership theory as outlined in *The Fifth Discipline* by Senge (1991). Successful change models would include team learning, a shared vision, trust and teamwork.

Educational organizations looking to improve the quality of their product may very well focus on external demands imposed from political and community forces. We have looked at several external forces that may stimulate change; however, deep within an organization beats the heart of sustainable change. The challenge to meaningful change is to create an atmosphere that brings out professional commitment. Boyer (1985) wrote that people improvement is the only way to bring about school improvement (DuFour & Eaker, 1992:11). This premise is substantiated by a study by the Rand Corporation (McLaughlin, 1990) illustrating the complexity of institutional change, ". . . the best hope of school reform lies in improving schools one building at a time" (DuFour & Eaker, 1992:20).

When determining areas needing change within an organization, a review of current literature describing best practices would prove to be valuable for intelligent decision-making. School leaders must look at the change process in light of what is best for their individual schools.

Personal Reasons to Implement Change

Before the change process even begins, someone must make a commitment to take on a process that may invariably alienate half of those involved. Change can be painful and unsettling (Peters, 1987:4). The key to success in the school is the principal principle," said Jane Eisner upon concluding her research of effective schools (DuFour & Eaker, 1990:46). Peale, (1986) states how the law of supply can influence a committed leader. Personal good will flow abundantly when it is not blocked by negative thought and action (Peale, 1986:107). Blanchard & Peale speak of a personal desire to seek meaning and definition in life. They continue by saying that the desire to seek purpose is ongoing (Blanchard & Peale, 1988:44).

In his book, *Winning Every Day,* Lou Holtz (1998) describes the 10 steps he believes affect individual decisions about the future:

- The power of attitude;
- Taking on adversity;
- Having a sense of purpose;
- Willing to sacrifice;
- Learning to adapt to the situation;
- Chasing your dreams;
- Nurturing your self-image;
- Building trust;
- Committing to excellence; and

- Treating others as you would be treated (Holtz, 1998:xiv).

Not all leaders are willing to take on a change effort. In his book *Everyone's A Coach* 1995), Hall of Fame coach Don Shula writes that the problem with leadership today is that most leaders do not stand for anything (Blanchard & Shula, 1995:27). "Leadership creates movement toward something, and convictions provide that direction" (Blanchard & Peal, 1988:44).

Terry Deal, in *Leading with Soul* (1995), says that leaders must have the strength to be an individual while understanding that when things go wrong, people will blame the leader. By blaming their leaders in difficult times, people tend to feel released from their responsibilities. The model in Japan is different; the group realizes it is their job to solve the problems for the leader (Boleman & Deal, 1995:74).

The reason for leaders to stand up and take a stand for reform could be to satisfy the human need for recognition. The Peters and Waterman study in 1982 described the desire of an individual to be part of a winning team (DuFour, 1992:27). Their work also found that at the foundation of the most successful companies in our country was the concept of a winning team. Their research discovered that just as it is in athletics, winning performances become contagious. By continuously celebrating winning when it occurs, organizations are able to keep the momentum going (DuFour, 1992:27).

In his book, *The Fifth Discipline,* Peter Senge (1994) asks why bother? The personal energy required to lead a change effort can seem overwhelming.

When it comes to personal commitment, he cites the comments of Konosuke Matsushita, the innovative creator of Masushita of Japan, who believes his purpose is to help every individual within his organization to superior economic performance (Senge, 1994:10). Senge also describes how the CEO of Xerox Canada, David McCamus, feels good when his efforts ultimately lead to satisfied customers (Senge, 1994:10).

In his book ,*The 7 Habits of Highly effective People* (1990), Steven Covey illustrates how some people gain self-satisfaction by being able to break with tradition and see things in a new light. He lists the work of Thomas Kuhn, known for introducing the term paradigm shift, in his book, *The Structure of Scientific Revolutions*. Kuhn describes how almost every major scientific breakthrough was the result of someone breaking the old paradigm and looking at things in a new way (Covey, 1990:29).

Leaders who are able to orchestrate the change of culture within an organization have themselves undergone a personal transformation. Freed supports the Covey principle that trustworthiness is the fundamental principle of leadership (Freed, 1998:3).

In *They Call Me Coach* (1972) John Wooden spoke of the importance of personal commitment and the desire to care for others. He said that coaches must regard their responsibility as a sacred trust because of the many lives that are influenced by their actions (Wooden, 1972:99).

Finally, coach Krzyzewski, in light of his years of collegiate success, writes of his passion for choosing to work in the pressure-filled world of college basketball. "My passion is to coach and do things to the best of my ability. If we can do that, the other stuff will take care of itself" (Krzyzewski, 2000:54).

Establishing a New Vision

A review of literature and research points to vision as the essential element in change. We will see that as important as vision is for the growth of an organization, the methods and circumstances used to create the vision determine success or failure. Shared vision builds success (Senge, 1990:298). Charlotte Roberts describes the power of a newly energized team when she wrote that coming to work in the new environment was like, ". . .trying to steer seven wild horses instead of beating seven dead horses to move" (Senge, 1990:304).

In their work, *Leaders*, Bennis and Nanus (1985), concluded that a powerful vision is the first ingredient in establishing an outstanding organization. They continued by saying that a new vision is viewed as bringing hope for the future of the organization (DuFour & Eaker, 1992:23). "If there is a spark of genius in the leadership function at all it must be in this transcending ability, a kind of magic, to assemble, out of the variety of images, signals, forecasts and alternatives, a clearly articulated vision of the future that is at once single, easily understood, clearly desirable, and energizing" (Bennis & Nanus, 1985:22).

Laurie Beth Jones examined the effects of creating a new vision in her book, *Jesus CEO, Using Ancient Wisdom for Visionary Leadership* (1995). She writes that Jesus was a turnaround specialist by giving others a new mindset, a turnaround mentality (Jones, 1995:167). In *Leading Change (1996)*, Kotter states that vision and leadership may be inseparable and that the driving force behind organizational transformation is leadership (Kotter, 1996:31). Kotter describes the characteristics of an effective vision (Kotter, 1996:72):

- Imaginable: Presenting a picture of the future;
- Desirable: Appealing to long-term interests;
- Feasible: The goals are realistic;
- Focused: Narrowing the variables;
- Flexible: Able to continue with alternative responses; and
- Communicable: Communicates clearly.

Vision and mission statements require continuous monitoring to remain on course (Freed, 1998:2). The importance of establishing meaningful dialogue among the stakeholders does not end when the vision is finally articulated. For a vision to become a living document, shared decision making and continuous monitoring is essential (Freed, 1998:2).

Schools riding the crest of on going success seem to display an ". . . almost utopian quality that is the physical expression of a clear and appealing philosophy" (Traub, 1999:14). An observer can step foot on the campus of an excellent school and immediately feel the presence of an appealing philosophy.

The prevailing philosophy is visible in the way people respond and interact. Such feelings within organizations and schools are not accidental. Successful organizations are guided by a vision that grows out of the needs of the organization (DuFour & Eaker, 1992:25). Establishing a living vision is the result of leadership, consensus, and commitment to sustain the effort (DuFour & Eaker, 1992:28). The lifeblood of a vision is the decision making-process used in its development. The DuFour research of excellent schools indicates the factors involved in establishing a shared vision (DuFour & Eaker, 1992:29):

- The use the diverse groups within the school;
- Those involved should be respected and influential within the school;
- Maintaining a broad perspective;
- Key policy makers being involved; and
- The principal must demonstrate leadership.

If vision is the heart of the change process, and for change to produce systemic reform, then reform must be replicable and sustainable after the leader is gone. Paul T. Hill clearly emphasizes the importance of visions being able to sustain reform in his work, *Reinventing Public Education* (1995), when he wrote, "The whole idea of school-wide reform is that one can abstract a set of principles, . . . that will make it possible to reproduce the successful practices of good schools" (Hill, 1995:2).

Action Plan for Implementing Change

We have seen how consensus-based decision-making can establish a living vision for an organization. The action plan becomes the blueprint for implementing the vision. Examining change efforts between private and public organizations reveals the purpose for the effort. Alcaste Pappas, president of Pappas Consulting, described the purpose of change. He concluded that where private organizations remain focused on profit as the bottom line, public organizations exist to improve society (Dimun, 1998:4).

Kotter lists the essential elements of a successful action plan in his book, *Leading Change,* (1996):

- Establish a sense of urgency;
- Create a guiding coalition;
- Develop a vision and strategy;
- Communicate the vision;
- Empowering others for broad-based action;
- Generating short-term wins;
- Consolidating gains and producing more chance; and
- Linking new approaches to the culture.

For an action plan to continue to produce desired results, under the stress of both internal and external variables, it should be linked to the dynamics of the organization. Bellott and Tutor (1990) researched the dynamics of motivation for teachers through their study, *The Tennessee Career Ladder Program, TCLP.*

They compared their findings to the Herzberg five motivational factors, which were influenced by the Maslow theory of motivation. Herzberg found that self-actualization became the basis for self-esteem and that self-actualized performance was the basis for reputation. Reputation was defined as the esteem received from others. In contradiction to Herzberg, the TCLP study found that teachers rated salary as the most important reason to participate in the career ladder program (Gawel, 1997:3). They concluded that self-actualization may have been the highest level on the Maslow hierarchy of needs, but teachers stated that opportunities to increase their salary were prime motivators (Gawel, 1997:5). The implication for school leaders is that when salary becomes a fixed issue, the next best internal motivator for teachers is esteem (Gawel, 1997:5).

The timeline for implementation of an action plan can be crucial to the initial effectiveness of the entire change effort. Kotter believes leaders must create a sense of urgency to overcome complacency within the organization (Kotter, 1996:4). In *Leading Change* (1996), he describes several factors that can lull an organization into a seemingly stable state of mind:

- The absence of a major crisis;
- Low performance standards;
- The Human nature capacity for denial;
- Too much happy talk from senior management;
- Inaccurate roles and responsibilities within the organization; and
- Inaccurate measurement systems.

Kotter disagrees with traditional change theories that believe the first step in the change process is to reform the norms and values of the organization. His current experience reveals that culture cannot be manipulated easily. The most effective changes he has studied indicate that changing culture comes last, not first (Kotter, 1996:21).

The question of whether to implement change immediately or over time has supporters on both sides. The decision must be made in the context of the dynamics of the organization while considering time sensitive issues that may be involved. The present writer agrees with Peters, *Thriving on Chaos* (1987), that something must be done immediately in order to demonstrate that the action plan has actually begun. The Kotter new innovation formula emphasizes that several small application changes should be made as soon as possible (Kotter, 1996:120). When planned correctly, a series of small starts can be designed to grow into large-scale changes (Peters, 1987:245).

Developing a timeline that quickly shows how results can stimulate the entire change effort can provide motivation for further change (Peters, 1987:257). Ross Perot, founder of Electronic Data Systems, illustrated the need to take action when he said, "It takes five years to develop a new car in this country. Heck, we won World War II in four years" (Peters, 1987:257).

Excerpts from *The Art of War,* by the ancient Chinese master Sun Tzu, describe how to establish advantage in battle and have implications for the timeline change. Those in position first have the advantage. Those waiting to

enter the battle last will be worn out and defeated (Cleary, 1989:103). The ancient master taught that taking the initiative by moving quickly would lead to victory (Cleary, 1989:117). Cleary describes the wisdom of the ancient work, *Extraordinary Strategies of a Hundred Battles,* by Liu Ji. Based on *The Art of War,* Ji defines the essence of change when he wrote, "The ability to gain victory by changing and adapting according to opponents is called genius" (Cleary, 1989:71).

In his book, *Results, The Key to Continuous School Improvement* (1996), Mike Schmoker cites evidence from several school studies indicating rapid action can bring rapid results. Of the schools reviewed, Schmoker found the timeline for implementing change varied from four weeks to one year (Schmoker, 1996:50). The Schmoker work reinforces the assertion by Kotter that creating a sense of urgency must be supported with rapid action (Kotter, 1996:21). If Kotter is right when he says that creating a sense of urgency is required to initiate the change process, then it seems logical for educators to accept the fact that our educational system does not meet the needs of all of its students. As long as one student fails to become proficient in the basic skills of reading, writing, and mathematics, education must seek ways to improve.

Some leaders believe incremental change over time is the more prudent method of implementation. Research indicates, however, that change can be rapid and still be effective over time (Kotter, 1996:122). Whether incremental or comprehensive, school reform is likely to combine elements from various

strategies that are meaningful to the specific school (Traub, 1999:13). In *The New Technology and Educational Reform,* Karr-Kidwell and Matthews (1999:17), wrote that technology, by its very nature, is ideal for becoming a model for rapid implementation.

Short-term wins should be more than short-term gimmicks. In order to keep momentum building for implementation efforts, short-term wins must be genuinely connected to long-term goals (Kotter, 1996:128).

Table D

***The Relationship of Leadership, Management Short-Term Results and Successful Transformation* (Kotter, 1996:129)**

Leadership	Management 0	Management 1	Management 2
2		Transformation efforts successful for a while, but often fail after short-term results become erratic.	All highly successful transformation efforts combine good leadership with good management
1		Transformation efforts go nowhere.	Short-term results are possible. But real transformation programs have trouble getting started and major, long-term change is rarely achieved.
0			

Management

Resistance to Change and Overcoming Resistance

Quite often change is met with resistance. The alteration of an existing condition implies unknown events will take place. Some organizations have

undergone unsuccessful reform efforts leaving painful memories benind (Gawel, 1997:3). Evidence will show that organizations that succeed did so under the directions of skillful leadership. In spite of the pain that may be associated with changing an existing condition, significant change that produces new outcomes is possible in both private and public organizations (DuFour & Eaker, 1992:46).

Parallel wisdom exists through the ages illustrating the destructive force of internal dissention. The best laid plans for change can be shattered if an atmosphere of dissension exists within the staff. From the Sun Tzu classic, *The Art of War,* Thomas Cleary translates wisdom from ancient China on the importance of harmonizing people. "When people are in harmony, they will fight on their own initiative without exhortation" (Cleary, 1989:51). The I Ching speaks of dealing with contention in the Sung hexagram. The lesson is for leaders to remain confident in the face of opposition. "Respectful behavior will bring good fortune" (Ho, O'Brien & Palmer, 1986:69). Leaders must be able to tolerate gossip, yet never pursue the issue. By staying on the course they will be lucky (Ho, O'Brien & Palmer,1986:69). Jesus also spoke of the ill effects of dissension, when he said, "Any kingdom divided against itself will be ruined, and a house divided against itself will fail" (NIV, 1989).

That theme was never voiced more eloquently under hostile conditions as it was at the Republican State Convention in Springfield on June 16th. The conditions were tense that day under an atmosphere of division. Actually, the year was 1858 and the speaker was Abraham Lincoln. He spoke of change and

the need to overcome dissension within the union. "A house divided against itself cannot stand. I do not expect the house to fall, but I do expect it will cease to be divided" (Claremont, 2001). On that day he spoke of commitment and vision. As the present study examines pertinent research regarding the change process, it becomes clear that leaders must also remain committed to their cause while establishing new visions. Lincoln continued his address by simply defining the process of analyzing a current condition. "If we could first know where we are, and whither we are tending, we could better judge what to do, and how to do it" (Claremont, 2001).

John Kotter (1996), a professor of leadership at Harvard University, addresses the pitfalls of dissension in his book, *Leading Change*. He describes two types of individuals to avoid at all costs when building a guiding coalition. Leaders would do well to avoid individuals with self-serving egos and those who create mistrust. Individually or collectively, they can kill teamwork. The work by Kotter seems especially appropriate for the leader striving to lead the change process. "Personnel problems that can be ignored during easy times can cause serious trouble in a tougher, faster-moving, globalizing economy" (Kotter, 1996:61)

Peters found that the timeline for change can actually contribute to the resistance for that change (Peters, 1987:258). He found that the single most significant reason why change efforts stalled was the bureaucracy of the organization itself (Peters, 1987:258). It could be that in education as in

business, we over organize. Seventy-five percent of poorly developed projects could be attributed to delays from plans traveling the cumbersome trail between committees, departments, revisions, and approval to implementation (Peters, 1987:262). The successful change efforts of major businesses such as 3-M, Hewlett-Packard, and Frito-Lay resulted in significantly reduced product development time by merging divisions and forming cooperative teams (Peters, 1987:258).

Examples of successful change show that leaders created an atmosphere of trust and a willingness to take risks. "Sometimes adversity can work in your favor. Instead of feeling sorry for yourself and using it as an excuse, accept the situation and try to make the most of it. That's how a team develops resilience and character" (Krzyzewski, 2000:165). In the wake of defeat, a successful leader will look for the small victories and build on what works (Krzyzewski, 2000:103). Some organizations are defeated before they even try to make a change. Built-in excuses and rationalizations to old paradigms can paralyze creative thinking (Krzyzewski, 2000:111).

Just as 3-M and Hewlett-Packard were able to implement successful changes through the formation of cooperative teams, educational leaders may be able to overcome resistance by the concept of divide and conquer. Forming cooperative teams can break up large tasks while naturally creating buy-in for the mission. Leaders searching for reform could benefit from an understanding of the Katzenbach team-performance curve. In his book, *The Wisdom of Teams*

(1993), Katzenbach and Smith analyzed the dynamics of group interaction and described how individuals work collectively (Katzenbach, 1993:91):

- Working groups: Interaction to share information, making decisions to help each other meet responsibilities. No real common purpose.
- Pseudo-team: Has not focused on collective performance. No interest in shaping a common purpose. Considered to be the weakest of teams.
- Potential team: Trying to improve performance but requires more clarification of the overall purpose. Has not established collective accountability. Frequently used by organizations.
- Real team: Members with complimentary skills committed to a common purpose. They hold themselves mutually accountable. The basic unit of performance.
- High-performance teams: Deeply committed to the growth of each of its members. Will outperform all other teams.

As Dimun researched the transformation process in her work, *Educational Marketing: An Essential Tool for Managing Change*, she found that a change effort is actually a transformation process creating a desire, within an organization, to accomplish something for others rather than for self. Such a philosophy becomes a rallying cry that goes a long way toward overcoming resistance (Dimun, 1998:7). She found that when the marketing plan of a school was customer-driven, it became student-driven (Dimun, 1998:2).

A motto used in the Special Olympics has significance for organizations trying to establish unity. In *Jesus CEO, Using Ancient Wisdom for Visionary Leadership* (1995), Laurie Beth Jones researched leadership strategies while describing the parables Jesus used to build unity. She discovered that teamwork can overcome resistance. From the story of the shepherd who searched for the lost sheep, to the king who would not start the feast until every place was filled, Jesus taught teamwork.. She continues by describing examples of Amish farmers working together to build a barn for a neighbor, or of career women in Boston who found time to mentor unwed mothers, and of Mother Teresa and AIDS volunteers working together for a common purpose all following the motto, "Nobody wins until we all do" (Jones, 1995:290).

In *The Fifth Discipline*, (1994), Charlotte Roberts writes about the leverage for dissolving barriers to collaboration in *Reinventing Relationships.* She found that for teams to move forward, they needed to reinvent their models of human relationships by promoting intimacy and sharing authority (Senge, 1994:70). She discusses the role of intimacy in an organization's ability to provide opportunities for team members to carry on significant conversation. For such conversation to be productive, an atmosphere of trust must be established (Senge, 1994:70). In a typical school, a great amount of work falls on a few people. The survival of the project will depend upon the level of intimacy developed among the team (Senge, 1994:71). Roberts continues by saying, "The quality of decisions

increases, due to truth telling and commitment to common purpose" (Senge, 1994:71).

The second leverage point Roberts found for dissolving barriers was that of sharing authority (Senge, 1994:73). She found that promoting a new model of relationships required leaders to:

- Share relevant information. Senior management must be the first to open up;
- Share credit through collaboration;
- Reward and recognize. Leaders must recognize and reward honesty and openness; and
- Meaningful dialogue. Fostering the freedom and safety for members to talk about relationships and concerns.

The fact that effective leaders have a vision of what they want was studied in the Pulitzer Prize-winning study of leadership by James McGregor in 1978 (DuFour & Eaker,1992:56). McGregor found that a leader must first clarify his / her own goals before attempting to influence others. He describes the demands placed on public schools to solve every social problem results in nothing being done well. Schools that are achieving success are able to focus their efforts in specific directions (DuFour, 1992:56).

Skillful leaders can eliminate or reduce resistance by anticipating the barriers that may arise within their organization (Dimun, 1998:12). Dimun refers

to the work of Darryl Conner, president and CEO of ODR, Inc., who lists the four fundamental challenges to change implementation (Dimun, 1998:12):

1. Change sponsor: Those who justify the change;
2. Change agent: Those responsible for implementing the change;
3. Change target: Those who must actually change; and
4. Change advocate: Those seeking change but lack support.

The school principal becomes the driving force for overcoming resistance by continually communicating what they want. Eaker & DuFour *Creating the New American School* (1992:56), describe how the 1992 work of Peters and Waterman, *In Search of Excellence,* researched how effective leaders continually found ways to repeat the mission, stating that, "No opportunity is too small, no forum too insignificant, no audience too junior."

Eaker & DuFour also point to the work of Bennis and Nanus (1985), who found that effective leaders overcame resistance by the use of metaphors and slogans to communicate the vision (DuFour, 1992:56). As informative and entertaining as some metaphors can be, Peters and Austin *A Passion for Excellence* (1985), discovered that it was a leader's actions that most clearly communicated an organization's vision (Eaker & DuFour, 1992:57).

In the Chinese classic *The Art of War,* the ancient master Sun Tzu wrote that the lesson of strategic assessment has implications for the leader attempting to overcome resistance. The master further suggests that thoroughly understanding your opponent's strength and weakness will lead to your victory.

When outnumbered, use humility and courtesy, then wait for an opening that offers opportunity (Cleary, 1989:101).

Evaluation

Evaluation of organizational change efforts is not like taking a final exam in English 101. Evidence indicates that effective leaders do not wait until the end of a process to evaluate its success. In the present study, we have seen how evaluation of existing conditions provides data that guides the reform process.

Evaluation methods should be carefully constructed to continuously measure what is important. (Peters, 1987:582). From teacher performance evaluations to student proficiency tests, education seems overwhelmed with evaluation instruments. It is not enough for educational leaders to merely monitor student achievement anymore; they must be able to read the pulse of the improvement efforts of their school (DuFour & Eaker, 1992:97).

Edwards Deming believes that performance appraisal is the number one American management problem (Peters, 1987:597). His appraisal would agree with Richard DuFour who believes that teaching and learning are at the heart of educational reform; and that staff development has a direct influence on improvement efforts (DuFour & Eaker, 1992:113).

Substantial literature exists describing how leaders assess the progress of their change efforts. The business research of Tom Peters reveals that simple, visible measurements should become the standard rather than the exception

(Peters, 1987:582). Measurement results should be continually visible throughout the organization. After data is collected, results should be accessible to all members of the organization in an easy-to-understand format. In *Thriving On Chaos* (1987), Tom Peters provides excerpts from *World Class Manufacturing* by Richard Schonber. Schonber suggests the use of simple charts on the wall displaying incremental progress along the path to reform will help keep the vision alive. Shonber further states that, "The best leadership is that which insists on visible measures of what is going on in the trenches and on action there to achieve a high rate of improvement" (Peters, 1987:585).

DuFour & Eaker write that the first step in the improvement process is the assessment of current conditions. *Creating the New American School,* (1992), provide an overview of effective assessments (DuFour, 1992:41):

1. Faculty and Parent Perception Surveys;
2. Interviews;
3. Observations; and
4. Examples of Student Work.

The present writer used the following methods of assessment to identify current conditions:

1. Informal Evaluation:
    a. Observations, Discussions, peer support, surveys,
2. Formal Evaluation:

a. Mandated proficiency testing, norm reference tests, standardized tests, locally developed tests
b. Performance evaluation of teachers
c. Curriculum: attendance, participation in activities, discipline records, portfolios, grades, SAT scores

Organizations that have implemented successful change have been able to measure what's important (Peters, 1987:582). In order to build credibility, every staff member should be involved in the evaluation process. The concept of focusing evaluation strategies is especially important for educators since they are faced with an overwhelming amount of information (Bangert-Downs & Rudner, 1991:1).

Finally, *The Fifth Discipline*, (1994), describes the work of Kleiner, Roberts, Ross and Smith who studied learning organizations. They wrote that learning organizations must continually test their experiences in relation to their core purpose (Senge, 1994:49). Such evaluations reveal organizational progress while exposing the sacred cows that can provide resistance to the change effort. They suggest leaders use evaluation methods, which ask the question, "Does the organization show capabilities it didn't have before?" (Senge, 1994:49). After all, improving or developing an organization's capabilities is the essence of change.

Evaluation of Preceding Research and Related Literature

The present review of literature has revealed that business as usual is no longer an option for organizations striving to create a quality product. In education, the move toward a quality learning organization requires change (Freed, 1998:2). Freed sites the work of Levinson and Rosenthal, (1984), who wrote that leadership is critical in the change process. From *Legends in Their Own Minds*, (1997), Freed seems to have found the key ingredient to the change process. "Without strong leadership from the top, no organizational change has much chance of success" (Freed, 1998:4).

We have also found that organizations which have successfully implemented change realize that the people within their organizations are the heart of the change process. Even when an organization receives external directives to implement change, it is the people within the organization that will make the change become reality. Whereas profit is the bottom line for business, developing people becomes the bottom line for educational leaders. For best results, we must learn to manage things and lead people (Covey, 1991:17).

In *The 7 Habits of Highly Effective People*, (1990), Covey describes how form follows function by illustrating that management follows leadership. It should also be remembered that priorities grow out of mission (Covey, 1990:158).

The change process is complex yet consists of fundamental principles that are consistent with successful change efforts in business and education. The

basic elements of change include but are not limited to: strong leadership, an understanding of the personnel involved, analysis of existing conditions, an accepted vision, action plan based on needs assessment, shared decision making, open communication, continuous evaluation and recognition of successful accomplishments. Evidence points to the fact that no single method for implementing change will be effective for all organizations.

The integrity of the change effort will have a major impact on its success. The change process is affected by the principles of ethical relationships: purpose, pride, patience, persistence and perspective (Blanchard & Peale, 1988:42). In *Leading With Soul,* (1995), Terry Deal says that, courage, spirit and hope are the enduring elements of leaders. When leaders possess such qualities, they look beyond objective analysis and lead with soul (Deal, 1995:5).

There are a variety of reasons why leaders attempt to implement change in their organizations. However, leaders who are committed to excellence naturally find themselves seeking change for the better (Holtz, 1998:152). In *The Fifth Discipline,* (1994), Senge uses the work of A.T. Ariyaratine to describe the roller coaster of emotions leaders undergo during the change process. It's easier to start initiatives than to bring enduring change. The early stages of the change process are filled with excitement until progress begins to develop opposition. Once opposition surfaces, the organization begins to feel the overwhelming tug of preserving the status quo. As success is accepted, change

is met with respect and then the process enters the most dangerous stage (Senge, 1994:16).

James McGregor Burns writes that effective leaders know what they want and can clearly communicate their vision (DuFour & Eaker, 1992:56). *In Search of Excellence,* (1982), authors Peters and Waterman illustrate effective principals realize that no opportunity is too small to repeat the message of excellence. Rather than succumb to the redundancy of communicating new procedures and policies each year, effective leaders emphasize the stable vision and values that produce quality products within their schools (DuFour & Eaker, 1992:56).

Potential for Present Study

The findings of the present study describe the best practices in existing in Distinguished School. Understanding the dynamics of human change efforts are more than fascinating; they are essential if the business of educating children is to remain ahead of the growing barriers blocking quality education. The survey used in the present study acquired examples of how change actually produced positive outcomes in Distinguished Schools. The data from the present study will form a template for implementing positive change in schools.

Summary

The review of literature in the present study has revealed a consistent pattern inherent in effective change efforts. The Findings of the Study in Chapter

- Move from individual to team performance (Katzenbach, 1993:109).
- The wise general looks to high ground for battle. He knows invincibility is a matter of defense. Sun Tzu, the Art of War (Cleary, 1989:101).
- Regarding the change process, "A gem cannot be polished without friction, nor man perfected without trials." Chinese Proverb.

Chapter III

RESEARCH DESIGN AND METHODOLOGY

Introduction

The present study examines how successful schools use the change process to produce positive outcomes. The review of literature and subsequent data may be valuable for schools wishing to implement a successful change model.

The present study will test the hypothesis that skilled leadership is required to lead successful change.

Chapter II examined existing literature. The results of this examination clearly shows that without leadership, organizational change becomes a non-directed shifting of policies and procedures dominated by the strongest forces within the organization. Without strong leadership, organizational improvement does not have much of a chance for success (Freed, 1998:4).

Research Design

The present study gathered data from a cross-sectional survey of school leaders from California Distinguished Schools. The survey consisted of 19 questions requesting both objective and subjective responses. Part A of the survey examines the extent to which leaders were able to organize their change efforts. Questions related to the following areas:

- The condition of the organization prior to change;

- Identifying areas of change with the organization;
- Personal reasons to implement the change; and
- Establishing a new vision.

Part B of the survey refers to the methods used to analyze current conditions and implement changes. Questions related to the following areas:

- The condition of the organization prior to the change;
- Establishing a new vision;
- The action plan; and
- Evaluation.

Chapter IV will describe the findings of the present study. Data will be presented through charts and narrative form. Frequency of responses for each question will be described in chart form along with the percentage of responses relating to the total. Part B of the survey requires narrative responses for each question.

Chapter V presents the summary and conclusions of the present study. Recommendations are made based upon the collected data.

Population

A sample population of California Distinguished Schools was selected for the survey. Educational leaders from 1999 middle and high school Distinguished Schools were selected to participate. The random selection of schools represented the three geographic areas of the state. Each of the three regions of

the state received a third of the surveys. Surveys were mailed to the southern, middle and northern regions of California. The population was narrowed through the distribution of 60 surveys. This population represented the subgroup in a stratified random sampling of educational leaders from Distinguished Schools.

Sources of Data

Survey recipients were asked to complete the surveys and then return their responses in self-addressed, stamped envelopes. The 65 percent response rate provided a baseline indicating how Distinguished Schools implemented change. Section A of the survey provided quantitative data as to the extent to which educational leaders were able to organize their change efforts. Section B provided narrative data describing the change strategies used.

The frequencies of responses for each question were recorded on a tally sheet. Section A allowed for a single response to each question. Questions in Section B allowed for multiple responses per question. Total responses from each question were tabulated by:

1. The frequency of responses;
2. The percent of each response to the total responses for that question; and
3. Narrative responses for each question.

Treatment of Samples

After collection and tabulation, data was sorted in descending order from the highest percentage of responses. The process of chi-square was employed to determine statistical significance of the raw data. Each question presents data describing how Distinguished Schools used the change process to implement positive outcomes.

The collection of data represents a sampling of change strategies used by Distinguished Schools. Chapter IV will present an analysis of data along with the complete tabulation of survey responses. The statistical significance of the responses to the survey will be described. The summary in Chapter V will draw conclusions between the data accumulated from this original research and the review of corresponding literature, described in Chapter II.

Survey of the Change Process

Name _____ **/ Organization** _____

Having been selected as a California Distinguished School, your views on the change process are valuable. This survey will attempt to identify specific strategies used by principals to bring about positive outcomes in their schools. The goal of this study is to collect data that will be analyzed and used to provide a practical guideline for schools wishing to bring about positive outcomes. Please describe your experiences with the change process. Selected responses may be used, with permission, for publication.

Please use the self-addressed, stamped envelope to return this survey by June 1, 2000.

Thank you for contributing to this study.

Ron Zimbalist

Part A

Instructions: Please circle the most appropriate response to each of the following questions.

1. To what extent did you explore various methods to determine that change was needed in your organization?

Extensively *Considerably* *Moderately* *Rarely* *Not at All*

2. To what extent were changes needed within your organization in order to bring about new outcomes?

Extensively *Considerably* *Moderately* *Rarely* *Not at All*

3. To what extent did you, personally, decide to assume the challenge of changing your organization?

Extensively *Considerably* *Moderately* *Rarely* *Not at All*

4. To what extent did you use various methods for communicating your vision to your organizations?

Extensively *Considerably* *Moderately* *Rarely* *Not at All*

5. To what extent do you feel that you were able to create ownership for your new vision?

Extensively *Considerably* *Moderately* *Rarely* *Not at All*

Part B

The condition of your organization prior to the change: (use additional pages as needed)

1. What methods did you use to determine ***that a change was needed*** in your organization?

_____

_____

_____

2. ***What needed to change*** within your organization in order to bring about new outcomes.

_____

_____

_____

3. Why did you decide to personally take on the challenge of changing your organization?

_____

_____

_____

Establishing a new vision:

4. How did you communicate your vision to your organization?

_____

_____

_____

5. Were you able to create ownership for your new vision?

[] Yes [] No

If yes, what strategies did you use to create ownership?

_____

_____

_____

Action Plan:

6. Briefly describe what you did to bring new outcomes to your organization.

A. What changes did you initiate to bring **positive results immediately**, within one week to one month?

_____

_____

_____

B. What changes did you initiate that brought about **positive results over time**, within one month to one year:

_____

_____

_____

7. Please describe the first three new outcomes that came about as a result of your action plan?

   1._____

   2._____

   3._____

8. What was your timeline for implementing the first changes within your organization? Please circle the most accurate response.

   1-3 months 4-6 months 6-12 months 12-18 months

Evaluation:

9. How did you evaluate progress toward the new outcomes?

_____

_____

_____

10. Did you find resistance toward your plan for change?

    If your answer is yes, briefly describe the resistance.

_____

_____

_____

11. If you met resistance, how did you overcome that resistance?

12. What did you find to be most difficult about implementing change within your organization?

13. What did you find to be most rewarding as you implemented change within your organization?

14. Any additional comments you wish to share regarding your experiences initiating organizational change?

Chapter IV

PRESENTATION AND ANALYSIS OF DATA

Introduction

The findings from the present study reveal that schools that have been recognized as California Distinguished Schools have implemented carefully planned change strategies. Responses from these schools further indicate that their change practices correspond with successful strategies documented in existing literature. From business to education, research demonstrates that change is a consistent phenomenon within any organization. Change will happen. This study identifies the best practices documented from existing literature and from practicing educational leaders.

From quantitative to narrative data, a template for change will be presented with the hope that schools seeking improvement will learn from others success.

Presentation of Data

Data from Part A of the survey used a Lickert scale to describe how respondents either extensively, considerably or moderately committed to implementing change. It is interesting to note that no responses were reported in the categories of rarely and only one response in the category of not at all. Table F, summarized the quantitative data from Part A of the survey. Question

one: *To what extend did you explore various methods to determine that change was needed in your organization?* Data revealed the responses indicating extensive or considerable use a variety of methods accounted for 82 percent of the responses. The use of chi-square in analyzing the above raw data revealed a probability of $p<.0001$, which was statistically significant.

Question two: *To what extend were changes needed within your organization in order to bring about new outcomes?* Forty-nine percent indicated extensive or considerable changes were needed within their organizations. Yet, 51 percent-indicated only moderate changes were needed to bring about new outcomes. The use of chi-square in analyzing the above raw data revealed $p = .8470$. Therefore, the results of question two are not statistically significant, which indicates to the present writer that a significant number of Distinguished Schools were not in need of extensive or considerable changes prior to their change efforts.

Question three: *To what extent did you, personally, decide to assume the challenge of changing your organization?* Eighty-two percent indicated extensive or considerable commitment to personally assuming the challenge of change, whereas only 18 percent were committed moderately. One respondent indicated not at all. The use of chi-square in analyzing the above raw data revealed a probability of $p<.0001$, which was statistically significant.

Question four: *To what extent did you use various methods for communicating your vision to your organizations?* A variety of methods for communicating vision were used by 85 percent of the educational leaders

surveyed. Only 15 percent took a moderate approach in communicating the vision. The use of chi-square in analyzing the above raw data revealed a probability of $p<.0001$, which was statistically significant.

Question five: *To what extend do you feel that you were able to create ownership for your new vision?* Forty-one percent responded extensively and 44 percent indicated they were able to considerably create ownership for their vision within their schools. Fifteen percent were able to moderately create ownership for their vision. The use of chi-square in analyzing the above raw data revealed a probability of $p<.0001$, which was statistically significant.

Table G contains narrative responses to questions 1 through 14 of part B of the survey. The narrative data analysis of Chapter 4 will provide an analysis of each question by describing the frequency of responses and percentages of the total responses.

Narrative Data Analysis

For discussion purposes, percentages will be rounded to the nearest percent.

Question 1: *What methods did you use to determine that a change was needed in your organization?*

Data shows that 11 percent of the respondents used general surveys to determine that change was needed. The table further shows that 57 percent of the responses came from objective sources such as surveys, test scores and school records as determined by items number: 1,2,6,7,8,11,15,16,17,18,19,22,

and 23. Leaders seeking first-hand answers on a personal basis accounted for 44 percent of the responses indicated by items: 3,4,5,9,10,13,20, and 21.

Question 2: *What needed to change within your organization to bring about new outcomes?*

Improving classroom instruction accounted for the highest frequency of responses totaling 13 percent. Responses referring to leadership and communication had a combined percentage of 41 percent and included:

- 11% Clear administrative direction
- 7% Convincing teachers that assessment data is valuable
- 5% Work toward consensus for vision and implementation
- 5% Site administration needed to create a sense of mission
- 5% Open lines of communication
- 4% Create an environment of trust
- 2% Improve leadership
- 2% Replace site administrator

Question 3: *Why did you decide to personally take on the challenge of changing your organization?*

Data shows that 17 percent of the leaders surveyed believed that improving student achievement was their most important reason to personally take on the change effort. Yet, responses to this question also reveals 36

percent believed that leadership was important for making a personal decision to implement change:

12% I was a new principal and wanted to make a difference

10% It's my job to lead

5% I had the credibility to lead

5% A desire to build a collaborative, high functioning team

2% Because the previous administration was not successful

2% Believed in supporting individual dreams of accomplishment

Question 4: *How did you communicate the new vision?*

Responses revealed a variety of methods used to communicate the new vision. While 17 percent used staff meetings to communicate their vision, 60 percent used the personal approach of one-on-one, shared planning and the use of their leadership team to communicate the vision indicated by items: 2,3,4,7,8,9,10,11,14, and 15.

Question 5: *Were you able to create ownership for your new vision*?

Once the vision had been communicated, 16 percent of the leaders said they used the entire school community to build ownership for the vision. Virtually all responses for this question involved the use of various stakeholders to some degree. Leadership was evident in this question as 7 percent made sure others saw them walk the talk and 6 percent developed additional leaders among their staffs.

Question 6 A: *What changes were initiated immediately: one week to one month?*

Twenty-four percent of the leaders said they led by example and visited classrooms daily while another 5 percent created an open door policy. Question 6B listed the changes implemented from one month to one year. Improving communication accounted for the top four responses totaling 54 percent indicated by items: 1,2,3, and 4.

Question 7: *The first three new outcomes that came about as a result of your action plan.*

Responses were fairly well split with the top seven including:

1. 15% alignment to standards
2. 9% teachers began working together rather than in isolation
3. 6% improved test scores
4. 6% students getting involved in positive school activities
5. 6% upgrading facilities
6. 6% improved staff communication
7. 6% new technology incorporated in instruction

Question 8: *The timeline for implementing the first changes.* This cross-referenced question refers to questions 6A and 6B. The timeline for implementation is broken into four categories. Question 8 asked leaders to

indicate how quickly they implemented the first changes. While 15 percent implemented immediate change within one to three months, 38 percent preferred to implement change within four to six months. It's interesting to note that responses are virtually split indicating 53 percent implemented changes within the first six months while 47 percent preferred to implement change from six months to eighteen months.

Question 9: *How did you evaluate progress toward the new outcomes?* Once again weekly meetings, 17 percent, provided to be the highest response followed by observation, 13 percent. Objective responses accounted for 38 percent indicated by items: 4,6,8,9,10,11,12,13, and14. Items: 1,2,3,5, and 7 indicated 62 percent of the responses referred to subjective methods of evaluation.

Question 10: *Did you find resistance toward your plan for change? If your answer is yes, briefly describe the resistance.*

The greatest resistance to change was reported to be from teachers. Sixty-nine percent found that teachers presented the greatest resistance to change as indicated by items: 1,3,5,6, and 7. Only 24 percent indicated organizational resistance in the form of the time required to implement changes. Of those that did not observe resistance to change, 43 percent reported that their staffs supported and recognized that change was needed. Twenty four percent indicated they did not observe resistance because of the high level of commitment to quality education displayed by their staff.

Question 11: *If you met resistance, how did you overcome that resistance?*

The top three responses describe how leaders overcame resistance:

1. 16% build the critical mass of supportive staff
2. 16% personally work with those having problems making changes
3. 12% gave recognition to successful strategies

Items: 4,5,11,12,13, and 14 indicated that 30 percent of the leaders took a firm stand to weather the storm from resistance:

1. 11% ignored complaints and proceeded
2. 11% held firm until those who resisted moved on or retired
3. 2% "Get over it" and move on
4. 2% "It's time for change"
5. 2% be part of the change or move on
6. 2% personally confronted those who were sharp shooting the effort

Question 12: *What did you find to be most difficult about implementing change within your organization?*

Responses to question 10 revealed that teachers were the most difficult challenge of the change process. Forty-two percent of the responses indicated that the human factor was the most difficult aspect of the change process.

19% Dealing with negative people

9% Teachers felt burdened by additional work required for change

9% Overcoming old baggage

4% Progress slowed down when old issues resurfaced

1% Overcoming negativity: "We tried that and it didn't work."

Question 13: *What did you find to be most rewarding as you implemented changes?*

The top four responses pertained to staff enthusiasm and accounted for 52 percent of the total as indicated by item: 1,2,3, and 4. Student success, improved test scores, results and organizational improvement totaled 30 percent indicated by items: 5, 7,9,10,12,13, and 14

Question 14 provided additional comments about the change process. Twenty-three percent of the responses indicated that change is a process that takes time. Fifty-two percent of responses indicated that the change process involves people:

1. 12% building leadership
2. 12% persistence while still caring
3. 9% give credit to others
4. 7% everyone must be part of the change effort
5. 7% the staff must believe that the change will make things better
6. 5% change occurs from a common belief in the vision

Summary

The data from this study reveals that successful schools have implemented change through the people within their organization. Programs,

policies and test scores were not the driving forces behind these successful schools. This research supports the fact that educational leaders recognize the human factor as the essential element of the change process. Table E shows that in eleven out of thirteen questions, people-related responses were most frequently listed. Responses pertaining to programs and test scores were listed first in only two questions.

Table E

The Most Frequent Responses To Questions
1,2,3,4,5,6,7,9,10,11,12,13

People Oriented Responses	***Programs / Test Score Responses***
Questions:	***Questions:***
1	3
2	7
4	
5	
6A	
6B	
9	
10	
11	
12	
13	

Table F

Quantitative Data Displaying Percentage of Responses

Part A of Survey

Condition of the Organization Prior to Change:

1. To what extent did you explore various methods to determine that change was needed in your organization?

Extensively	*Considerably*	*Moderately*	*Rarely*	*Not at All*
28%	54%	18%	0%	0%

Identifying Areas of Changes with the Organization:

2. To what extent were changes needed within your organization in order to bring about new outcomes?

Extensively	*Considerably*	*Moderately*	*Rarely*	*Not at All*
21%	28%	51%	0%	0%

Personal Reasons to Implement Change:

3. To what extent did you, personally, decide to assume the challenge of changing your organization?

Extensively	*Considerably*	*Moderately*	*Rarely*	*Not at All*
56%	26%	15%	0%	3%

Establishing a New Vision:

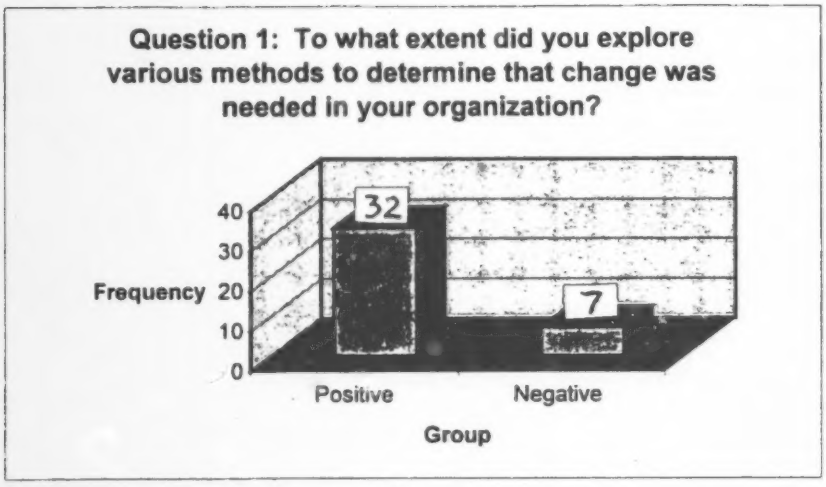
4. To what extent did you use various methods for communicating your vision to your organizations?

Extensively	*Considerably*	*Moderately*	*Rarely*	*Not at All*
54%	31%	15%	0%	0%

5. To what extent do you feel that you were able to create ownership for your new vision?

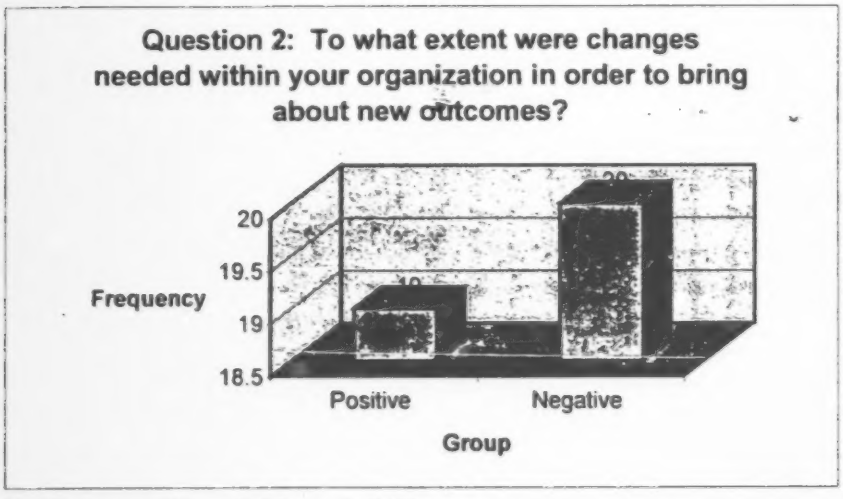
Extensively	*Considerably*	*Moderately*	*Rarely*	*Not at All*
41%	44%	15%	0%	0%

Table G



Chi Square (1) = 16.03, p = .0001 ***

* $p \leq .05$
** $p \leq .01$
*** $p \leq .001$



Chi Square (1) = 0.03, p = .8470

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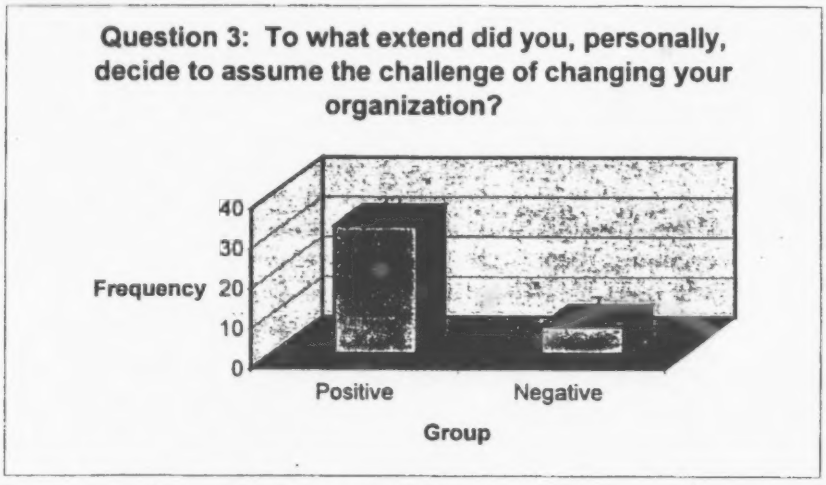
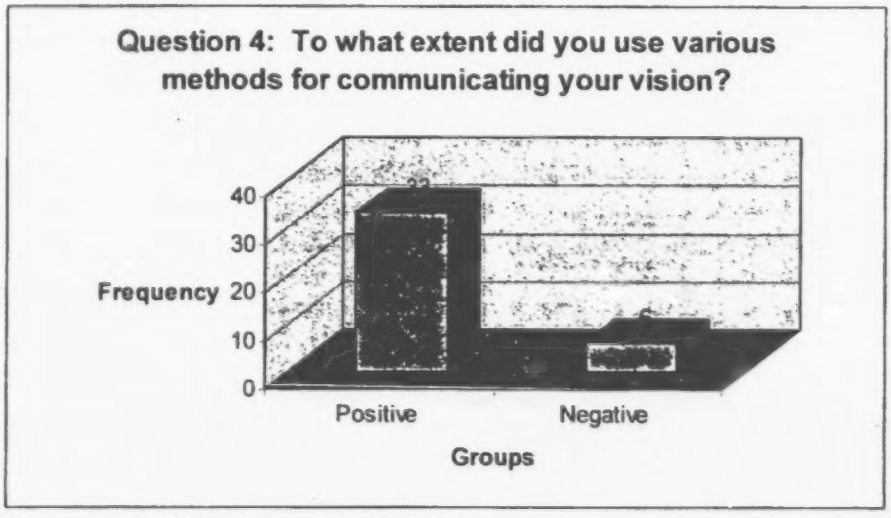
Table G



Chi Square (1) = 16.03, p = .0001 ***

* $p \leq .05$
** $p \leq .01$
*** $p \leq .001$



Chi Square (1) = 16.03, p = .0001 ***

* $p \leq .05$
** $p \leq .01$
*** $p \leq .001$

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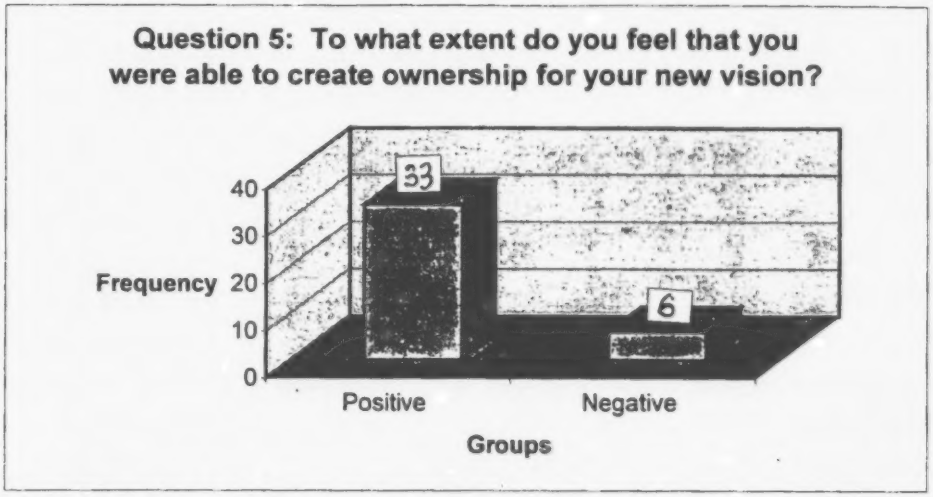
Table G



Chi Square (1) = 16.03, p = .0001 ***

* $p \leq .05$

** $p \leq .01$

*** $p \leq .001$

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Question 1 **What Methods did you use to determine that a change was needed in your organization?**

Item #	Frequency	Percent	Response
1	10	10.53%	Surveys: general.
2	9	9.47%	Sat 9
3	9	9.47%	Discussions with stakeholders
4	9	9.47%	Personal observation
5	8	8.42%	Staff meetings
6	6	6.32%	Surveys: Staff
7	5	5.26%	Test scores
8	4	4.21%	Surveys: Parents
9	4	4.21%	Department self study
10	4	4.21%	Visiting comparable sites
11	3	3.16%	Surveys: Students
12	3	3.16%	Discipline records
13	3	3.16%	Questioning: asking why and help me understand
14	2	2.11%	Norm reference tests
15	2	2.11%	Surveys: Business practices
16	2	2.11%	Surveys: Community
17	2	2.11%	Attendance records
18	2	2.11%	Staff evaluations
19	2	2.11%	Grades
20	2	2.11%	Personal knowledge of the condition of the district/school
21	2	2.11%	Spent first year gathering data and planning for second year
22	1	1.05%	Graduation rates
23	1	1.05%	Alumni input
	95	100.00%	

Question 2 **What needed to change within your organization to bring about new outcomes?**

Item #	Frequency	Percent	Response
1	11	13.41%	Improving classroom instruction
2	9	10.98%	Clear administrative direction
3	8	9.76%	Cohesive effort of staff to work for a common vision
4	6	7.32%	Convincing teachers that assessment data is valuable
5	5	6.10%	To become service oriented rather than self-serving
6	4	4.88%	The school community accepting responsibility for change
7	4	4.88%	Work toward consensus for vision and implementation
8	4	4.88%	Site administration needed to create a sense of mission
9	4	4.88%	Open lines of communication
10	3	3.66%	Improve student academic proficiency
11	3	3.66%	Create an enviornment of trust
12	2	2.44%	All staff moving in the same direction
13	2	2.44%	Improve leadership
14	2	2.44%	Negative comments from the community
15	2	2.44%	Negative comments from the staff
16	2	2.44%	Replace site administrator
17	2	2.44%	Clarify job responsibilities
18	2	2.44%	Create a schedule that met student's needs
19	2	2.44%	Improve campus security
20	1	1.22%	A new school-wide focus
21	1	1.22%	Establish timeline for goals
22	1	1.22%	A new system of positive results in a negative environment
23	1	1.22%	Leadership from the district
24	1	1.22%	Add foreign language
	82	100%	

Question 3 **Why did you decide to personally take on the challenge of changing your organization?**

Item #	Frequency	Percent	Response
1	7	16.67%	Improve student achievement
2	5	11.90%	The change was needed to improve the school
3	5	11.90%	I was a new principal and wanted to make a difference
4	4	9.52%	It's my job to lead the school/district
5	3	7.14%	Knew what needed to be done
6	3	7.14%	Believed that we can help all kids learn
7	2	4.76%	Had the credibility to lead
8	2	4.76%	Had a sense of loyalty from the staff and students
9	2	4.76%	I was a new superintendent
10	2	4.76%	Without a vision you perish
11	2	4.76%	A desire to build a collaborative, high functioning team
12	1	2.38%	Because the previous administration was not successful
13	1	2.38%	Confident I could implement change with new people
14	1	2.38%	Personal pride of continuous improvement
15	1	2.38%	Pride of continuous improvement
16	1	2.38%	Believed in supporting individual dreams of accomplishment
	42	100%	

Question 4 **How did you communicate the new vision?**

Item #	Frequency	Percent	Response
1	11	17.46%	Staff meetings
2	9	14.29%	One-on-one contact with all staff
3	8	12.70%	Shared the implementation plan with all staff
4	7	11.11%	Used leadership team to spread the message of our new vision
5	6	9.52%	Newsletters
6	3	4.76%	Board presentation
7	3	4.76%	Parent meetings
8	3	4.76%	Shared supporting data with individuals and groups
9	2	3.17%	Communicate the mission everyday to everyone
10	2	3.17%	Encourage people to try new things
11	2	3.17%	Applauded the efforts and achievements of the staff
12	2	3.17%	Written communication
13	1	1.59%	Divide and conquer
14	1	1.59%	Develop "buy in" through honest communication
15	1	1.59%	Establish positive relationship with local newspaper
16	1	1.59%	Monthly newsletter highlighting vision and examples of excellence
17	1	1.59%	Release days for staff development
	63	100.00%	

Question 5 **Where you able to create ownership for your new vision?**
If Yes, what strategies did you use to create ownership?

Item #	Frequency	Percent	Response
1	11	16.18%	Included the entire school community in the process
2	7	10.29%	Built trust by delegating responsibility
3	6	8.82%	Sought input from stakeholders
4	5	7.35%	Show data to teachers
5	5	7.35%	Staff inservice
6	5	7.35%	Made sure people see you walk your talk
7	4	5.88%	Involved a diverse group of staff for decision making
8	4	5.88%	Developed leaders in the staff
9	3	4.41%	Continually spoke of high expectations
10	2	2.94%	Review the mission
11	2	2.94%	Participation by all staff
12	2	2.94%	Developed acceptance through patience and low threat
13	2	2.94%	Use the Principal's Council to develop buy-in
14	2	2.94%	Team concept
15	1	1.47%	Visioning
16	1	1.47%	Goal setting
17	1	1.47%	Establish committees
18	1	1.47%	Established student groups to address issues
19	1	1.47%	Staff felt validated when results appeared
20	1	1.47%	Teachers wanted changes and accepted new responsibilities
21	1	1.47%	Helped staff believe, "we can get there"
22	1	1.47%	Helped staff understand what's in it for them
	68	100.0%	

Question 6A **What changes were initiated immediately?**

One week to one month:

Item #	Frequency	Percent	Response
1	11	12.94%	Lead by example.
2	10	11.76%	Stood firm. Held the course.
3	9	10.59%	Visited classrooms daily
4	8	9.41%	Scheduling students according to their needs
5	6	7.06%	Met with staff to get their commitment
6	4	4.71%	Identified student needs
7	4	4.71%	Shared the process for decision-making
8	4	4.71%	Created an open door policy
9	4	4.71%	New discipline policy emphasizing consistent consequences
10	4	4.71%	Developed a strategic planning process
11	4	4.71%	Sought input from stakeholders
12	2	2.35%	Described school policies with complete honesty
13	2	2.35%	Created a philosophy that supports instruction
14	2	2.35%	Refined the budget process
15	2	2.35%	Better staff communication. "late start mornings" for staff meetings
16	1	1.18%	Set reachable expectations
17	1	1.18%	Shared information. No secrets
18	1	1.18%	Hired an excellent assistant who brought a new vision
19	1	1.18%	Met with students the first week of school
20	1	1.18%	Communicated the vision that our district was going to be the best
21	1	1.18%	Validated staff as individuals
22	1	1.18%	Continued to build my credibility as a leader
23	1	1.18%	Brought in an outside consultant to evaluate
24	1	1.18%	Provided teacher in-service on how children learn.
	85	100.00%	

Question 6 B **Changes initiated over time: one month to one year**

Item #	Frequency	Percent	Response
1	10	20.00%	Establish committees
2	8	16.00%	Monthly evaluation meetings
3	5	10.00%	Implement trust through shared decision-making
4	4	8.00%	Improved communication
5	3	6.00%	Created CORE curriculum families
6	3	6.00%	Sent Leadership Team to CSLA workshops
7	2	4.00%	Expanded team concept
8	2	4.00%	Prepared staff in Spring for Fall changes
9	2	4.00%	Getting the ducks in line
10	2	4.00%	Restructuring from Jr. High to Middle School concept
11	2	4.00%	Defining the role of teachers in the big picture of public education
12	1	2.00%	Implement multiple activities for identified issues
13	1	2.00%	Raising awareness while addressing goals
14	1	2.00%	New organizational structure for the school
15	1	2.00%	Staff received full reports on assessments
16	1	2.00%	Changes in district and site leadership
17	1	2.00%	Reduction of class size
18	1	2.00%	Align school plan to academic standards
	50	100.00%	

Question 7 **What were the first three new outcomes that came about as a result of your action plan?**

Item #	Frequency	Percent	Response
1	10	14.71%	Alignment to standards
2	6	8.82%	Teachers began working together rather than in isolation
3	4	5.88%	Improved test scores
4	4	5.88%	Students began to get involved in positive school activities
5	4	5.88%	Upgraded facilities
6	4	5.88%	Improved staff communication
7	4	5.88%	New technology incorporated in instruction
8	3	4.41%	Established a curriculum committee
9	3	4.41%	Students could participate without fear
10	3	4.41%	School-wide day planners for students
11	2	2.94%	Teachers were able to teach
12	2	2.94%	Parents were appreciative and supportive
13	2	2.94%	Established new curriculum
14	2	2.94%	School-wide note taking for students
15	2	2.94%	Collaboration between special education and mainstream education
16	2	2.94%	Create infusion of ELD program
17	1	1.47%	The school community became committed to our goals
18	1	1.47%	New district vision
19	1	1.47%	Established leadership team
20	1	1.47%	Emphasize reading comprehension in all courses
21	1	1.47%	Less emphasis on program and more on instruction
22	1	1.47%	The CORE curriculum became solidified rather than fragmented
23	1	1.47%	Established School-to-Career as a school wide program
24	1	1.47%	Strengthened academic teams
25	1	1.47%	Block scheduling
26	1	1.47%	Longer periods
27	1	1.47%	Addition of foreign language into the schedule
	68	100.00%	

Question 10 **Did you find resistance toward your plan for change? If your answer is yes, briefly describe the resistance.**

Item #	Frequency	Percent	Response
			YES - Observed Resistance to Change
1	10	30.30%	Some teachers didn't want to change their style of teaching
2	8	24.24%	Not enough time for teachers to implement changes
3	8	24.24%	Some teachers would resist any change.
4	2	6.06%	Some negative students resisted
5	2	6.06%	Some teachers resisted the whole child concept
6	2	6.06%	Some teachers preferred to teach in isolation
7	1	3.03%	From the "old guard"
	33	100.00%	

Item #	Frequency	Percent	Response
			NO - Did not observe resistance to change
1	9	42.86%	Staff very supportive and recognized change was needed
2	5	23.81%	High level of commitment to quality education
3	4	19.05%	90% of the staff were on board from the start
4	3	14.29%	Not much because change was treated as a process
	21	100.00%	

Question 11 **If you met resistance, how did you overcome that resistance?**

Item #	Frequency	Percent	Response
1	9	15.79%	Kept building the critical mass of supportive staff
2	9	15.79%	Personally worked with individuals having problems changing
3	7	12.28%	Gave recognition to new successful strategies
4	6	10.53%	Ignored complaints and proceeded with the plan.
5	6	10.53%	Held firm until those who resisted moved on or retired
6	5	8.77%	Went with strengths
7	4	7.02%	Applaud those who embraced the change.
8	3	5.26%	Gave positive strokes to teachers in a public forum
9	2	3.51%	Reviewed the vision
10	1	1.75%	Reviewed our purpose as professional educators
11	1	1.75%	"Get over it" and move on
12	1	1.75%	"It's time for change"
13	1	1.75%	"Be part of the change or move on"
14	1	1.75%	Personally confronted those who were sharp shooting the effort
15	1	1.75%	Focused on the big picture of quality education for all
	57	100.00%	

Question 12 **What did you find to be most difficult about implementing change within your organization?**

Item #	Frequency	Percent	Response
1	14	18.92%	Dealing with negative people
2	9	12.16%	The amount of time involved to keep the school on track
3	8	10.81%	Teachers needed more time to meet and implement changes
4	7	9.46%	Teachers felt burdened by additional work required for change
5	7	9.46%	Overcoming old baggage
6	5	6.76%	Providing needed resource to keep moving forward
7	4	5.41%	Staff respect for assessment data
8	4	5.41%	Creating time for teachers to collaborate
9	3	4.05%	Progress slowed down when old issues resurfaced
10	3	4.05%	Helping the district to understand the school's needs
11	2	2.70%	The superintendent
12	2	2.70%	Keeping the staff from doing too much too soon
13	2	2.70%	Helping staff to realize that some change needs time
14	1	1.35%	Fear of doing things differently
15	1	1.35%	Had to rebuild trust in order to move forward
16	1	1.35%	Overcoming negativity: "We tried that and it didn't work"
17	1	1.35%	The energy involved. It's an every day, every minute endeavor
	74	100.00%	

Question 13 **What did you find to be most rewarding as you implemented changes?**

Item #	Frequency	Percent	Response
1	13	17.81%	Staff enthusiasm
2	12	16.44%	Increased staff morale
3	7	9.59%	Positive energy among the staff
4	6	8.22%	Praise from individuals within the organization
5	6	8.22%	Student success
6	6	8.22%	Strong comraderie within the staff
7	6	8.22%	Happy students and parents
8	4	5.48%	Positive comments from visitors
9	3	4.11%	The change in attitude in the school culture
10	2	2.74%	Student satisfaction with improved achievement
11	2	2.74%	Parent satisfaction
12	2	2.74%	Results
13	2	2.74%	A smooth running organization
14	1	1.37%	Improved test scores
15	1	1.37%	Staff confidence and pride
	73	100.00%	

Question 14 **Additional comments regarding the change process**

Item #	Frequency	Percent	Response
1	10	23.26%	Change is a process that takes time
2	5	11.63%	Build leadership capacity in as many people as possible
3	5	11.63%	Be persistent while still caring
4	4	9.30%	Cheerlead by giving credit to others
5	3	6.98%	Everyone must be part of the change effort
6	3	6.98%	Staff must believe that the change will make things better
7	2	4.65%	Change occurs from common belief in the vision
8	2	4.65%	Be stubborn
9	2	4.65%	Must have credibility to lead the change effort
10	2	4.65%	If the change will benefit kids, it's worth the fight.
11	1	2.33%	Get positive results from respect leaders in the school
12	1	2.33%	"I'd do it again in a minute"
13	1	2.33%	"Hard on problems and soft on people"
14	1	2.33%	Hard on malcontents who try to undermine
15	1	2.33%	A personal plan for change: First: get your ducks in line Second: trust those you delegate authority to Third: Don't be afraid to initiate change Fourth: Trust your instincts Fifth: Remember change is temporary. Sixth: Don't try to ride a dead horse
	43	100.00%	

Chapter V

SUMMARY, CONCLUSIONS, IMPLICATIONS, AND RECOMMENDATIONS

Summary

The present study has examined how successful schools use change to bring about positive new outcomes. Chi-square was employed in the treatment of raw data to determine statistical significance. The intent of the present study is to create a template that will serve as a guide for schools seeking improvement.

Hypothesis #1:

California Distinguished Schools have developed positive new outcomes by successfully implementing change.

The hypothesis was confirmed and will be discussed in detail below.

Hypothesis #2:

The attitude of the teacher toward change will affect the outcomes of the change effort.

The hypothesis was confirmed and will be discussed in detail below.

Hypothesis #3:

Leadership is required to guide desired change efforts.

The hypothesis was confirmed and will be discussed in detail below.

Hypothesis number 1: *California Distinguished Schools have developed positive new outcomes by successfully implementing change.* The present study confirmed that successful schools develop systematic methods to implement

change. The role of educational leaders is crucial for guiding successful change efforts. Leaders took on the responsibility for guiding the change effort in their schools by taking a personal approach to the change process. Forty-four percent of the leaders were personally involved in the change process by seeking first hand data pertaining to the current condition of their schools.

Once initial data was collected and analyzed, 41 percent of the leaders indicated the importance of leadership and communication required to implement positive change. Clear administrative direction while working toward consensus proved valuable for implementing a new vision. The importance of leadership is further demonstrated by results showing 60 percent of the leaders surveyed used a personal approach to communicate the new vision.

The review of literature also indicated that the timeline for implementing the first changes had an influence on further changes. The data from the present study substantiates the review of literature demonstrating that 53 percent of the responses said they implemented their first changes within the first six months of their implementation plan.

The importance of leadership is further demonstrated by the efforts used to overcome resistance to the change process. Data indicated that 69 percent of the resistance came from teachers within the school. Leaders faced the challenges of overcoming old baggage and negative staff attitudes when changes were implemented. Twenty-eight percent of the leaders indicated they encouraged people and gave recognition to supportive staff members. Leaders remained committed to the change process even in the face of negative staff

responses. Twenty-two percent ignored complaints and continued to move forward by holding firm in the face of negative challenges.

Hypothesis number 2: *The attitude of the teacher toward change will affect the outcomes of the change effort.* Results of the survey from the present study confirmed the importance of attitudes of teachers toward the change process. The attitudes and involvement of people within the schools were shown to have the greatest impact on the change effort. Fifty-two percent of the responses indicated that change is a process that involves people rather than policies and programs. That response is further verified by data showing that in 11 out of 13 questions, people related responses were most frequently listed. See Table E.

The importance of teacher attitude toward change is documented in Chapter II of this study, a review of the literature. If change is to be successful, teachers must buy into the effort. Survey data also reported that teachers provided the greatest resistance to change, 69 percent. Yet once the change effort was successful, 52 percent of the responses indicated that staff enthusiasm became the most rewarding part of the change process.

Hypothesis number 3: *Leadership is required to guide desired change efforts.* The hypothesis was confirmed through data obtained from the present survey as well as a review of current literature. Results from the present study demonstrated that leadership serves as a catalyst for the change process. In *The wisdom of Teams,* (1993), Katzenbach and Smith found that successful change was tied to performance results. Their research confirmed that defined

outcomes linked to the overall goals of the organization were essential for the success of the change effort.

Leadership is required to initiate a change effort and to maintain its momentum. In his book, *Leading Change*, (1996), John Kotter describes how leaders initiate a desire for change within their organizations by creating a sense of urgency. Urgency drives the change process. The timeline for implementation becomes a driving force of a change effort once the organization believes that results are needed within a given period of time. Skilled leaders can orchestrate a sense of urgency that is forceful yet sensitive to the personalities of those involved in the change effort.

The present study revealed that 20 percent of the Distinguished Schools surveyed listed student related issues to be the most needed changes in their schools.

13% Improving classroom instruction

4% Improve student academic proficiency

2% Create a schedule that met student's needs

1% Add foreign language

Question seven of the survey asked leaders to identify the first three new outcomes that resulted from implementation of their action plan. Once again, student related issues had the highest responses.

15% Alignment to standards

6% Improved test scores

6% Students began to get involved in positive school activities

4% Students could participate without fear

3% School-wide note taking for students

The results of the present study show that:

A. California distinguished Schools have successfully used the change process to develop positive new outcomes.

B. The attitudes of teachers toward change will significantly influence the outcomes of the change effort.

C. Although change is inevitable, leadership is required to guide desired change efforts.

Implications

In the 21st century, survival will become synonymous with change. Change will no longer be a matter of choice but an inevitable fact that must be dealt with. A new global economy will force paradigms to shift into rapidly changing environments. New modes of communication will transmit information before conclusions are even realized. Interdependence among businesses and nations will become the standard rather than the exception.

In the 21st century, improvement will become synonymous with change. Like being caught in an evolutionary time warp, organizations will be forced to change or face extinction. In *Leading* Change, (1996), John Kotter summarized the future when he wrote, "If environmental volatility continues to increase, as most people now predict, the standard organization of the twentieth century will likely become a dinosaur."

In the 21st, education will finally be considered a credible business. Tradition will blend with innovation to produce excellence. Schools will be known as 24-hour learning communities where children find learning to be a joy rather than an accumulation of disconnected tasks. We can be sure that society will continue to scrutinize education by looking for new means of accountably. With continued state and federal investments in education, progress evaluation will remain a political and personal desire for all who are involved in education.

Despite its challenges, education has a bright future. Powerful learning is already taking place in many districts as vision and policy blend to form a partnership of excellence. Successful schools will continue to emulate models of excellence as improvement becomes contagious. There seems to be no shortage of successful models to choose from. The challenge for schools then is to be able to implement successful models within the context of their school culture. The present study has gathered data from current literature and successful schools in an attempt to create a template that may help others improve the quality of education in their schools. Education in itself is a noble quest, and the improvement of education is no longer an option, it is a requirement.

Conclusions

It has been said that there is nothing new under the sun, and that life merely continues through one new situation after another using past experiences. It has also been said that there is a time for everything and that all

things will pass. In the present study we have seen that change is inevitable and that human history has documented the challenges of change. According to Deming, quantum change is not only possible but also probable in any organization. He believes that within any organization there are natural inclinations to find more effective ways to exist (Rhodes, 1990:2).

The very nature of education is about change. Education in itself is really very simple. In its basic form, education changes human behavior. What goes on between a teacher and a student is an interaction so powerful that lives become changed forever. The inherent desire to improve, whether individually or collectively, drives teachers to improve their skills. Yet, in many respects, contemporary educational systems have become their own worst enemy. From legislation to lackadaisical learners, an over regulated system is effected by each swing of the political pendulum; yet, somehow learning environments remain the same. Has the product of education become so cumbersome that results must measured by formulas rather than the simplicity of individual achievement?

Somewhere within that burdensome system, educational leaders continue to search for better ways to change lives. Some are successful and others just keep trying. In spite of growing legislation, entitlements and mandates, some schools emerge as beacons of quality. California Distinguished Schools are not perfect, but they have demonstrated that quality education is attainable.

Recommendations

The present study has described how successful schools have changed for the better. Every school culture is unique. Yet, within every school are human beings living through the daily struggles of career and family. This human factor, when used correctly, can support desired change. Through the present study, we have seen that teacher's attitudes toward change will directly influence the outcomes of the change. Understanding that premise, skillful leaders should learn all they can about their teachers in order to develop strategies for implementing change. It is true that change happens. It is also true that carefully planned change implementation strategies are required to bring about desired outcomes. Recognizing that each school is unique, the following may serve as a template to guide successful change implementation.

1. Accurately assess current conditions to determine:
    a. If change is needed.
    b. What change is needed?
    c. Resistance that may be encountered.
    d. Preliminary strategies to overcome resistance.
    e. Support from supervisors / parents / community.
    f. Key leaders in the school.
    g. Develop a personal, personnel skills chart to identify all players and their strengths and weaknesses.

h. Learn the personal ambitions for each staff member in order to tap into their ambitions.

2. Develop a sense of urgency for the areas in need of change.

a. Connect the change effort into the big picture of a service-oriented organization committed to children. Resistance may be minimized either by guilt or commitment when teachers see how children will benefit from the change.

3. Create a guiding coalition (Kotter, 1996).

a. Key leaders who believe in the change effort.

4. Share the vision:

i. Specific aspects of the new vision to key leaders.

ii. The big picture to the entire staff.

iii. Clarify the vision with input from all stakeholders.

5. Create time for necessary planning:

a. Staff:

i. Careful timing of the action plan is essential to reduce the feeling of being overwhelmed.

ii. Release time rather than after school.

iii. Meet in locations other than school.

b. Committees:

c. Special interest groups.

d. Time for the leader to keep the change process flowing while attending to the daily tasks of the school.

6. Communicate the vision:
    a. It is a continuous process.
    b. Use others to spread the word. It's important that many messengers are delivering the same message.
    c. One-on-one / group / team / entire staff.
    d. Encourage others to try new things.
    e. Honest communication.
7. Create ownership:
    e. Ask for input. Listen for input. Observe interaction.
    f. Include entire staff.
    g. Build trust by delegating real responsibility.
    h. Make sure people see you walk the talk.
    i. Use data.
    j. Focus on small successes to validate the change effort.
    k. Maintain a feeling of low threat and high service mentality.
    l. Remain humble and pass recognition to others.
8. Timeline:
    a. Implement something immediately.
    b. Plan an implementation schedule that allows for small changes along the way. This will energize the staff and help them to continue toward the final outcome.
    c. Establish a timeline for the major aspects of the change.
9. Communicate the first changes:

a. Within the school / parents / district / community.

b. Help others to see and believe that initial results validate the entire effort.

10. Capitalize on the first success:

a. Continue to build the critical mass of supportive staff.

11. Resistance to change:

a. Identify and confront those who oppose in a positive manner.

b. Personally work with resistors.

c. Give new opportunities and responsibilities to resistors.

d. Feed the needs of resistors.

e. Counsel out those who cannot get on board.

12. Evaluation:

a. Data / testimonial / observation.

b. Share positive experiences with all stakeholders.

c. Use evaluation data to encourage others and to correct problems.

d. Utilize credible staff members to assist with the evaluation.

13. Sustaining the effort:

a. Change is a dynamic phenomenon.

b. Keep building on immediate success.

c. Some change takes time.

d. Hire a staff that matches the new vision.

e. Recognize individual and group successes.

f. Feed the team concept.

g. Reward risk taking.

h. Maximize the new staff enthusiasm.

i. Build leadership capacity in as many people as possible.

j. Be persistent / hold the course.

k. Be committed to the fact that the effort is worth fighting for.

Finally, change, vision, and leadership go hand in hand. Whether turning around a troubled school, changing a specific segment within the school or building a new school, personal commitment is essential. Change does require leadership. In his book *The Foundation of Leadership,* (1997), Bo Short describes historical examples of leadership by summarizing the qualities of effective leaders:

- Leaders have vision;
- Leaders display courage;
- Leaders are determined to persevere;
- Leaders take responsibility; and
- Leaders act with character.

Throughout the present study, we have found the human factor to be a crucial element of the change process. Strong leadership is required to guide significant change efforts. When leaders understand the dynamics of human interaction, environments can be created in which people work together believing

in a common cause. It is inevitable that change will happen; the challenge for leaders is to direct change efforts to produce desirable outcomes. Implementing change is not for the fainthearted for the stakes are high. As long as a single child lacks the opportunity to become the best they can be, change is not an option but a requirement.

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